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Schoenberg and Brahms: a study of Schoenberg's response to Brahms's music as revealed in his didactic writings and selected early compositions.

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SCHOENBERG AND BRAHMS

A STUDY OF SCHOENBERG'S RESPONSE TO BRAHMS'S MUSIC
AS REVEALED IN HIS DIDACTIC WRITINGS AND
SELECTED EARLY COMPOSITIONS

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ABSTRACT

Schoenberg acknowledged the influence of a variety of composers upon the development of his ideas as expressed through his compositions and teaching. In seeking to define these relationships more closely, his response to Brahms's music is proposed as a subject of particular interest, on grounds both of the extent of his didactic references to Brahms and his claim to have based his early music partly on the study of Brahms. The thesis is advanced that these factors were intimately related, that his response significantly influenced the evolution of his concepts, and the study aims to clarify the nature of this relationship through reference to his didactic treatment of Brahms and the structure of selected early compositions. These aspects are critically discussed in the two central Parts, the former presenting a general outline of Schoenberg's concepts as a necessary basis for an examination of his treatment of Brahms. Three early works provide a focus for the study of his methods, namely: the String Quartet in D major (1897), the String Sextet in D minor (Verklärte Nacht) (1899), the String Quartet in D minor (1905). In each Part four areas provide a basis for discussion, namely: Harmonic and Tonal Relationships, Thematic Processes and Phrase Structure, Contrapuntal Relationships, Formal Relationships. Comparative references to the views of other critics of Brahms and to the works of other Brahms-influenced composers serve to place Schoenberg's approach in a broader perspective. The Introduction of the first Part elaborates the background to the study and clarifies its nature and scope, whilst the Conclusions of the fourth Part seek to draw some central themes from the diverse topics discussed and to assess the value of the response for Schoenberg.

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ABBREVIATIONS

1. The following abbreviations are employed within the text for the sources of Schoenberg's writings, followed by page number.

<u>FMC</u>	<u>Fundamentals of Musical Composition</u> , ed G. Strang and L. Stein, London, 1967.
<u>MBC</u>	<u>Models for Beginners in Composition</u> . New York, 1942.
<u>PEC</u>	<u>Preliminary Exercises in Counterpoint</u> , ed. L. Stein, London, 1963.
<u>SI</u>	<u>Style and Idea</u> , ed. L. Stein, London, 1975.
<u>SFH</u>	<u>Structural Functions of Harmony</u> , revised edition with corrections, ed. L. Stein, London, 1969.
<u>TH</u>	<u>The Theory of Harmony</u> , tr R.E. Carter, London, 1978
<u>Letters</u>	<u>Arnold Schoenberg Letters</u> , ed. L. Stein, London, 1964 (References are to page, rather than letter numbers).

(Subsequent references to the same source give only page number).

2. In view of the very frequent references to the works of Brahms and others, they are generally represented simply by opus number. However, for initial identification and to indicate where a new work is introduced into the discussion, works are referred to more fully at their first appearance within each section by their simplest familiar title as well as opus number: e.g. First Symphony op. 68, String Quartet op. 51/2. Individual movements are indicated by an additional roman numeral: e.g. op. 52/2-11. A full list of Brahms works referred to is given in order of opus number in Appendix 1.

3. In addition to the normal conventions, the following are specifically employed throughout.

Underlining: to denote terms given conceptual status by Schoenberg
e.g. Gestalt, region.

Single Quotation marks: to denote terms given conceptual status by other theorists.

Upper and Lower case letters: to distinguish major and minor keys in cases where no other indication is given.

MUSICAL EXAMPLES

All short examples are set within the text. Longer examples are given in Appendix 2.

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PART ONE

INTRODUCTION

SCHOENBERG AND BRAHMS

The extent to which Schoenberg regarded his work as part of a continuing tradition is one of the most distinctive features of his writings. Indeed, the precision with which he identified the influences to which he had been subject finds no obvious parallel in the writings of composers of comparable stature in his generation. Whilst these 'influences' were little considered during his lifetime, popular attention rather stressing the radical aspects of his work, the period since his death has seen a complete change of emphasis. Following the appearance of the various textbooks which he planned in America, the emergence of numerous shorter writings and the recollections of his pupils, it has increasingly become the convention to emphasize the 'traditional' aspects of Schoenberg's work through reference to the historical associations which he so frequently claimed.

Yet, if such references are commonplace, a more thoroughgoing examination of historical associations is less often to be found. Even in discussions of Schoenberg's early works, where links are most clearly in evidence, their fuller exploration has largely been avoided. This tendency is partly to be explained by the fact that the early music has generally been explored with a view to identifying the seeds of the later developments. In such a broad context, relationships with individual composers tend to be acknowledged with the minimum of critical comment. Moreover, there is a natural tendency on the part of critics to treat the remarks of composers on their own work with

some reserve. None the less, these individual relationships warrant close attention, not only in tracing the formation of Schoenberg's style, but as regards the later developments as well. Given the increasing stress which he placed upon the links he found between his mature language and certain aspects of the works of earlier composers, the nature of his relation to them assumes obvious importance.

In choosing to focus upon Schoenberg's response to Brahms, rather than to any of the other composers he cites, I am guided by the belief that it was particularly significant, and suited especially well to examination. Although fresh material will certainly sharpen our view of particular aspects, a sufficient breadth of published writing is now available to begin to see the relationship as a whole; I deem a broad approach to be a more important immediate task than a more detailed investigation of any one aspect. It is my thesis that Schoenberg's general response to Brahms's music was a factor of central importance, not only in his development as a composer, but in the evolution of his didactic concepts - indeed, that the two factors were intimately related. This is not to deny the importance of the other composers of whom he was most conscious, apparently Wagner, Beethoven and Mozart, or to claim that Brahms's model was of equal significance in every area; it is obviously dangerous to single out any one 'influence' upon a composer in whom so many stimuli were naturally absorbed and individually expressed.

Whilst it is my personal conviction that Schoenberg's thinking bore a strongly Brahmsian imprint, even that Brahms's methods provided a channel through which he came to interpret certain features of earlier music, it would be very difficult to evaluate this relationship as against those with the other composers mentioned.

However, for various reasons, we possess a much broader spread of information concerning Schoenberg's view of Brahms than of these composers, and also a more direct means of relating their music. Brahms therefore provides a natural subject through which to sharpen not only our view of Schoenberg's interest in individuals, but the wider question of the underlying nature of 'historical influence' on his thought.

That the young Schoenberg should have responded naturally to Brahms's music need occasion little comment in view of his background. The Vienna of the 1890s was dominated by Brahms's influence, which, despite challenge from the supporters of Wagner and Bruckner, remained strong because of the inherently conservative nature of Viennese taste. Brahms's audiences found the traditional associations of his forms much more acceptable than the innovations of the 'Progressives'. As a self-taught composer of piano pieces, songs with piano and chamber music for strings, it was entirely predictable that he should have been more strongly drawn to Brahms than to any other model. Indeed, it was to a member of the Brahms circle, the organist Josef Labor, that Schoenberg was first introduced by his amateur friends in 1893, and Labor's approval of his Quartet Movement in C Major

provided his first entrée into the musical world which centred on Brahms¹, specifically to contact with Heuberger and, especially, Zemlinsky, the latter one of the few younger composers of whom Brahms approved.² Schoenberg himself never met Brahms, although he chanced to stand next to the composer at the back of a crowded concert hall on one occasion.³

However, these factors would hardly have provided an adequate basis for a lifelong and developing interest in Brahms without the presence of others. One reason for Brahms's immense popularity in Vienna was, as stated, his accepted position as an artist whose work seemed to represent the culmination of a tradition, a tradition regarded as under threat from the growth of programmatic instrumental music and music drama. This view was chiefly fostered by Hanslick who, as the leading Viennese critic, constantly stressed Brahms's relationship to Beethoven whilst diminishing the innovations of Wagner and Liszt. His attitude is characteristically expressed in his review of the first performance of the Second Symphony op. 73 in 1877 and did not change essentially thereafter. Thus, in challenging the Wagnerian view that there existed no justification for writing purely instrumental music after Beethoven, he argued that "if any further contradiction is needed, there is none more brilliant than the long succession of Brahms's instrumental works....".⁴ Though appearing through less prominent channels, Spitta's observations of Brahms's study of the music of far earlier eras served to foster the same image.⁵

Brahms, like Schoenberg himself, was acutely aware of his heritage and a major feature of his career had been the emphasis he placed on the restoration of the claims of "absolute" music, drawing on his prodigious exploration of earlier music in the process. There is, indeed, hardly a technical point noted by Schoenberg in connection with earlier composers that cannot in some measure be related to Brahms; his comment that he learnt from Brahms "many of the things that I acquired unconsciously from Mozart"⁶ could in fact be applied much more widely amongst the composers he lists on the basis of his writings. Brahms's technique was therefore a natural point of reference wherever factors concerning the instrumental tradition arose. Had this tradition declined in its effect on Schoenberg in maturity, Brahms's significance would doubtless have declined with it; in reality Schoenberg grew increasingly conscious of the past. He was acutely aware of his pre-eminence as a student of Brahms's music and of his responsibility in preserving a tradition of Brahms-study which he regarded as under threat. Hence, in proposing the radio talk which provided the basis of the article 'Brahms the Progressive' he wrote : "Here I'd probably have something to say that only I can say. For although my exact contemporaries, and those who are older than I, also lived in Brahms's time, they aren't 'modern'. But the younger Brahmsians can't know the tradition from first-hand experience, and anyway they mostly tend to be 'reactionary'. But what I have in mind is the theory of composition, not anecdotes". (Letters, 170).

Consistent with this outlook, Schoenberg's writings include more references to Brahms than to any of his contemporaries or Romantic predecessors. Nor is this emphasis accounted for by reference to the requirements of his students, whose instruction was based on the instrumental tradition rather than the study of programmatic and dramatic music. Even in his general writings this tradition still claims most attention. Moreover, the article 'Brahms the Progressive'⁷ is more detailed and makes more radical claims than those devoted to composers of seemingly comparable significance.

Brahms's importance is further reflected in the writings of two of Schoenberg's friends who grew up in the same environment and retained their sympathy with his work throughout his life, David Bach and Egon Wellesz. Bach introduces his 'Note on Arnold Schoenberg' (1934) with the remark: "Young Schoenberg descended from Brahms ... The descent ... can be traced in Schoenberg's scores as well as in the course of his development. The young composer began with piano pieces and songs ... These works were obviously influenced by Brahms, but they clearly reveal the later Schoenberg also, and - in their rhythmic variety, - even the latest".⁸ Similar views are expressed by Wellesz, from whom they are perhaps more significant, since he first worked with Schoenberg about ten years after Bach, in 1904-5; that is, after Schoenberg's Wagnerian phase had begun. Having pointed to the influence of Tristan, Strauss's orchestral works and Wolf's songs, he declares: "But the composer who influenced him decisively throughout his life, and whom he rated highest among modern composers, was Brahms".⁹

Yet, if the general significance of Schoenberg's relationship to Brahms seems clear, the investigation of its nature poses fundamental problems. These centre on the question of the relationship between Schoenberg as teacher and as composer and, more fundamentally, on the very nature of the concept of 'influence', a term which, though freely employed by Schoenberg, I have intentionally omitted from my title and treated with care hitherto.

Whilst mention of the 'influence' of the work of one composer upon another is one of the most recurrent themes in musical history, critical discussion of its nature is comparatively rare, as has been stated. Three factors help to explain this. Firstly, it is often presented as a fixed entity, something constant which one composer takes over from another, or, if more subtly expressed, 'absorbs'. Yet, each expression gives a crude indication of the process. A composer can only absorb what he has the capacity to absorb and the nature of the absorption will therefore differ from individual to individual. The situation is rather that one composer 'responds' to the stimulus of another, as to any other stimulus, in a characteristic and selective way. Because of the unique nature of the response, and, further, of the interaction which it initiates, it is difficult to demonstrate in any but general terms. The reluctance of composers to discuss the nature of their responses to earlier stimuli is surely evidence of this point, and the lack of a critical framework which results from the absence of data

creates a second major problem. Finally, it can be observed that the disposition to respond is invariably strongest where the work of the composer in question shows a marked affinity with earlier models, the one a natural corollary of the other, making the distinction between the innate and the inherited impossible to determine.

Whilst the first of these points sets an inevitable limitation upon the scope of any study of the response of one composer to another, it can be argued that it is possible in Schoenberg's case to distinguish to a significant degree the 'innate' relationship to the past which is shown in his early works from the more conscious relationship through which he retained historical links within a radically changed outward idiom. No comparable contrast can, for example, be observed in the music of Brahms himself, in which innate and acquired relationships with the past were rather fused, by virtue of his chronological position. Moreover, as stressed, Schoenberg was more than forthcoming in identifying the nature of his stimuli. It is not the lack of comment on his stimuli which constitutes the problem in assessing Schoenberg's historical links, but the ways in which his remarks can reasonably be interpreted and employed, most notably in defining the nature of the relationship between the teacher and the composer. Schoenberg's didactic concepts were essentially the product of his maturity; whilst they were rooted in early compositional and analytic experience, they received their character as a consequence of his individual compositional development - since composition, analysis and teaching were intimately

related for him. These concepts should, in principle, be related to the compositions which appeared in the same period, rather than earlier, since here a relationship undoubtedly existed. However, it is impossible to discuss serial or 'atonal' music in terms of tonally-derived concepts in any but the broadest terms. It has to be admitted that it is unsound to adopt Schoenberg's didactic treatment of Brahms as a critical framework through which to retrace the patterns of Brahmsian 'influence' which he claimed in his early works. The nature of Schoenberg's early response to Brahms must therefore remain beyond the scope of detailed investigation. Indeed, even if we possessed as clear a picture of his early as of his later teaching, such an approach would still take a great deal for granted in the relationship between teacher and composer.

If the nature of the situation does not permit a detailed examination of the relation between composer and teacher with regard to tonal composition, the available material must serve a less specific end, yet one which is ultimately of great value; namely, a study of the seeds of the mature concepts in the early compositions. If we know little of Schoenberg's early teaching, we do know that it differed from his later approaches in degree rather than kind, that his preoccupations remained essentially similar, though finding many new forms of expression. Of his many remarks on this theme, the following passage is representative, and as relevant to his work as a teacher as as a composer.

"{My older works} are the natural forerunners of my later works, and only those who understand and comprehend them will be able to hear the latter with any understanding beyond the fashionable minimum. And only such people will realize that the melodic character of these later works is the natural consequence of my later experiments" (Letters, 100). Thus the distinction which exists between the early Schoenberg as a Brahms-influenced composer and the mature analyst of Brahms becomes in itself a factor of great significance in observing the nature of his response. That the observation of this distinction tells us much more about Schoenberg than about Brahms is not inconsistent with the aims of the study.

In seeking a critical framework for the examination of Schoenberg as teacher and composer, his writings provide a clear indication of his central preoccupations. They focus on four areas; namely: harmonic and tonal relationships, phrase structure and thematic process, contrapuntal relationships and formal relationships. In view of the individual character and background of Schoenberg's writings, a subject to which fuller reference will be made subsequently, it is essential to provide a critical outline of his general ideas prior to the examination of his Brahms examples. Without such an introduction his examples not only lack clarity, but it is impossible to grasp their full relevance. The Brahms examples must be taken as part of an entire picture, or not at all.

Such an outline also serves the important purpose of placing Schoenberg's approach in an initial perspective, one which is particularly valuable in showing the broad emphasis of his Brahms - teaching, through reference to the writings of other theorists of his generation and before. With Schoenberg's didactic framework thus established, the direct relationship between his concepts and his examples becomes clearer than if it were approached the other way about, from example to concept. As in the general context, so with Schoenberg's Brahms analyses it is important to consider how, if at all, other Brahms analysts dealt with his favoured areas, in order better to establish the parts of his teaching which were inherited, and thus to sharpen the focus on his essential preoccupations.

As regards the early compositions of Schoenberg which may best be considered in relation to Brahms, an obvious priority attaches to chamber works, songs with piano and choral works. However, although Schoenberg wrote many songs and choral pieces¹⁰ in the Brahmsian tradition during his earliest creative period (1893-7), and devoted attention to Brahms's principles of text-setting in 'Brahms the Progressive', his remarks overall provide insufficient basis for an adequately comprehensive study in the present context. It is chamber music which provides the ideal medium through which to gain a view of the scope of Schoenberg's compositional technique in relation to the past. He acknowledged the Brahmsian background to the D major Quartet of 1897; the D minor Quartet, op. 7 of eight years later shows, despite its stylistic

independence, the presence of many other Brahmsian elements. To these D - centred works can be added a third, the string sextet Verklärte Nacht, op. 4, in which, as well as Wagnerian features, Schoenberg identified Brahmsian elements and which stands in chronological proximity to the D major Quartet and in anticipation of the Quartet op. 7. In addition to these focal works, reference may be made to other compositions of this period and, especially, earlier; for example, the items, some fragmentary, contained in the Nachod Collection.¹¹

Here again, Schoenberg's methods may be placed in perspective, through reference to the work of other Brahms-inspired composers in the same fields. Two composers provide an obvious focus for comparative discussion: Zemlinsky and Reger. The relationship with Zemlinsky is central, since he represented a direct link between Brahms and Schoenberg. As a dedicated student of Brahms's technique, rather than a mere imitator of his manner, his works provide a natural point of reference, notably the Clarinet Trio in D minor, op. 3 and the String Quartet in A major, op. 4, both completed in 1896.¹² His subsequent chamber works all date from considerably later than the period under discussion and are not as relevant in the present context, since he was subject to new stimuli.¹³ Whilst Reger was outside the Brahmsian environment, active in Weiden and Munich, he was the foremost progressive composer of chamber music outside Vienna in the period in question. Although few comments by Schoenberg survive concerning Reger, it is clear from his correspondence with Zemlinsky that

he came to regard him very highly, as an original master whose music was under-rated. He argued for its frequent performance in the Society for Private Concerts in a letter of 1922 (Letters,

79-80) and, indeed, Reger's music featured prominently thereafter. His first three mature string quartets, in G minor, A major and D minor respectively, which appeared between 1901 and 1904,¹⁴ provide a contrasted, though equally valuable, source of comparison, similarly the product of an astute and progressive admirer of Brahms.

In conclusion, therefore, two aims emerge as central to the elaboration of the thesis earlier stated. Firstly, to clarify the nature and to assess the significance of the relationship between Schoenberg's didactic concepts and his analyses of Brahms. Secondly, to explore the relationship between these mature didactic views of Brahms and his early music which he claimed as partly Brahms-inspired. Of the four areas with which Schoenberg's didactic writings are largely concerned, he devotes the greatest attention to matters of harmonic and tonal relationship, thematic process and phrase structure and these will therefore be considered first. For reasons which will be clarified subsequently, Schoenberg's treatment of contrapuntal and formal relationships commands less attention, though the examination of these areas is essential to a rounded picture of the whole.

PART TWO

SCHOENBERG'S DIDACTIC WRITINGS,
WITH PARTICULAR REFERENCE TO HIS
TREATMENT OF BRAHMS

SECTION ONE

INTRODUCTION

SCHOENBERG AS THEORIST

My use hitherto of the term 'teacher' in preference to 'theorist' is reflective of the difficulty involved in directly relating the material generally designated 'Schoenberg's theoretical writings' to the writings of other theorists. In seeking to clarify his ideas, it is essential first to outline their background, which must be set in perspective whenever relationships are drawn with the theorists to whom he makes reference.

Schoenberg occupied a unique position amongst writers on this subject. Despite the vast quantity of his output and its manifestly conceptual nature, his primary motivation to theorize stemmed not from an interest in ^{the} theoretical tradition but from his work as a composer; moreover, a composer who laid great stress on the power of instinct rather than theory in the creation of new methods. His claim that in his twelve-note compositions he had depended entirely "on feeling, sense of form, and musical instinct"¹ echoes similar comments made about his earlier music and reflects a general attitude.² Once achieved, however, the innovations of his creative instinct were the subject of endless rationalization; he was incapable of accepting an idea without working out its fullest implications in relation to his existing understanding. The striking balance of these two aspects of his personality explains the individuality of his outlook. He was constantly preoccupied with the principles on which logic and comprehensibility are based, yet he had a remarkably open mind as to the possibilities of their manifestation; his was an

endless quest for new modes of organization, whether revealed in new music, or, through new perceptions, in existing music.

This outlook placed Schoenberg in inevitable conflict with the theorists of his day and before, for whom a distinction between theory and practice was largely taken for granted. His attitude towards them is first to be identified in the outspoken opening chapter of TH, entitled 'Theory, or System of Presentation?' Schoenberg regarded music theorists as irrelevant, since they were concerned with a priori assumptions, designed to satisfy the needs of their systems, rather than to clarify the workings of music. Schoenberg contrasts the musical theorist with the craftsman; unlike the craftsman, the theorist does not need the practical mastery of his materials. Despite the fact that "the pupil learns most of all through the examples shown to him by masters in their masterworks", the theorist still "seeks to create a substitute by replacing the living examples with theory, with a system" (TH 8). The basis of Schoenberg's opposition to this "substitute activity" is that, unlike the rules of nature, "[those] of art consist mainly of exceptions" (TH 11). Schoenberg does not oppose theory in the broad sense of "searching" with "honest efforts to discover tentative laws of art". But he considers that such approaches must needs be open-ended and regards "nothing as given but the phenomena". For the lack of such a fundamental view, Schoenberg considers that "no art has been so encumbered by its teachers as... music" (TH 7).

As a composer, by contrast, Schoenberg discovered his own rules by creative experience and likewise discerned the reasons for the rules inherited from the past. In order to encourage his pupils to understand the full possibilities of their materials, he took no one solution as absolute, but insisted on the exploration of every conceivable solution; his greatness as a teacher is often attributed to his capacity to develop technical resourcefulness thereby. Hence in TH he could claim thus as his achievement: "I have taken from composition pupils a bad aesthetics and given them in return a good course in handicraft" (TH 12). However, this emphasis did not restrict him to the discussion of purely technical matters. Theorizing in the sense of "searching" led him to a larger interest in the relationship between musical and other phenomena. As a composer forging a new language, he was constantly led to draw analogies with other arts, and particularly with language itself; and his creative evolution was accompanied by the constant articulation of his thoughts in his teaching and in writings of widely varying scope.

Schoenberg's approach to musical theory had important consequences for the shape of his writings, and thus for the approach of this study. Although he completed some major didactic texts, most notably TH, SFH and FMC, other central projects remained unfulfilled, most significantly the "all-inclusive textbook of composition" based on "The Study of Musical Logic"³ which preoccupied him for much of his maturity and

which would have provided the main basis for an assessment of his contributions to musical theory. Schoenberg left no complete theoretical statement, still less ^a system with analytical tools or vocabulary comparable with those of, for example, Schenker, Hindemith or even Riemann. It is therefore difficult to compare Schoenberg's essential view of many aspects of theory with those of others whose theoretical writings are more complete. The initial task is rather to begin to clarify the view itself, through the critical comparison of ideas - concepts, terms, examples, - variously expressed in many different sources. Schoenberg's writings include many inconsistencies and require frequent interpretation and relation to context. The full exploration of this subject is, of course, a major task for the future, one which will enable his relationship with other theorists to be seen in clearer perspective. For present purposes, I have merely attempted to clarify as far as possible the nature of the concepts through which he discussed the music on which he based his teaching, although any relevant points of contact with other writers, especially regarding Brahms, will naturally be considered.

Indeed, it is not inappropriate that Schoenberg's concepts should be considered in the terms through which they largely arose, from the interaction of his experiences as composer and teacher, searching for principles common to his own music and that of the past, the basic laws forementioned. Schoenberg's conceptual framework received its primary stimulus from his development as a composer ever conscious of his links to the past, especially after the formulation of the twelve-note method. It is significant in this

context to note the following observation by Rufer: "{Schoenberg} mentioned himself that in his teaching {from 1919 until the earliest twelve-note works} he quite consciously absorbed the newly-born perceptions drawn from twelve-note composition in analyses of Mozart, Beethoven, Brahms, but in camouflaged form".⁴ If Schoenberg's concepts and their illustrations provide only a limited means of examining the workings of musical structures, especially as wholes, they do give us a vital indication of the ways Schoenberg himself looked at music as compared with the views of others, of the features which united his response to the past with his own creative development. Much of the interest in Schoenberg as 'Theorist' resides in identifying the seeds of his concepts in his writings on the music which helped to mould them.

Schoenberg's concepts retain a basic significance for all his music, whether 'tonal' or otherwise, and are a means of linking him with his roots, especially the figures who most directly influenced his early style, Brahms and Wagner. As a young composer, he sought more consciously than any other to achieve a synthesis of their methods in his own style. As a teacher, the features which he particularly associated with them provided the framework of many of his subsequent ideas. It is to the clarification of the didactic relationship that the following Part is devoted. It will be complemented in Part Three by an examination of the seeds already present in the earlier compositional response to these composers.

PART TWO

SCHOENBERG'S WRITINGS ON HARMONIC AND TONAL RELATIONSHIPS

1.

GENERAL CONCEPTS

The chief sources for Schoenberg's ideas concerning Harmony and Tonality are TH, which first appeared in 1911, and SFH, which was completed in 1946, though not published until 1954. Of these, the greatest attention attaches, for present purposes, to the latter, since only here are his mature concepts presented. However, in tracing their evolution, it is essential to refer to the earlier work and to other texts of the intervening period, most notably MBC (1942) and the article 'Problems of Harmony' (1934). Finally it must be stressed that TH itself was subject to considerable modification in its second and third editions (1921/22), reflecting the crucial period of compositional development through which Schoenberg had passed since his preparation for the first edition of a decade earlier.

Central to Schoenberg's mature view of the nature and functions of harmony and tonality within an entire work are the concepts of monotonicity and region. Schoenberg defines monotonicity as the principle according to which "every digression from the tonic is considered to be still within the tonality, whether directly or indirectly, closely or remotely related. In other words, there is only one tonality within a piece" (SFH 19). Although this term first appeared in MBC it is only fully explained in SFH. Whilst it finds no place in TH, Schoenberg's thinking was obviously moving towards this concept by virtue of the changing uses of the term 'tonality' in successive editions. His first definition arises in relation to examples of traditional practice: "Tonality is a formal

possibility that emerges from the nature of the tonal material, a possibility of obtaining a certain completeness or closure (Geschlossenheit) by means of a certain uniformity" (TH 27).

Subsequently, however, this definition is applied more broadly:

"A piece can also be intelligible to us when the relationship to the fundamental is not treated as basic", with its telling sequel that "it may be perhaps that we simply do not yet know how to explain the tonality, or something corresponding to tonality, in modern music" (TH 128). Finally, Schoenberg can accept the chromatic scale as a basis for tonality, although only in the second edition did he really clarify the point in relation to the vogue term 'atonal': "The word 'atonal' could only signify something entirely inconsistent with the nature of tone. Even the word 'tonal' is incorrectly used if it is intended in an exclusive rather than an inclusive sense. It can be valid only in the following sense: Everything implied by a series of tones (Tonreihe) constitutes tonality, whether it be brought together by direct reference to a single fundamental or by more complicated connections" (TH 432). This new and expanded view of the nature of tonality, prompted by his compositional experience, led Schoenberg in turn to impose a comparable style of thinking on traditional tonality, and one can surely regard the evolution of the concept of monotonicity in this light.

A further important link to TH is provided by the term region, although it is not as yet given conceptual status, or included in the index. Whilst it is only a synonym for 'area', at this stage it already reflects a dissatisfaction with

the term 'key' in relation to the contrasts within a central tonality. If these contrasts were not to be understood in terms of the displacement of one tonality by another, then a new designation had to be found, and Schoenberg retained his earlier term region in his mature writings. Here he describes regions as "segments (of a tonality) which are carried about like independent tonalities (SFH 19). The factor which, however, distinguishes regions from "independent tonalities" as normally understood is their role in providing harmonic contrast within, rather than outside, the basic tonality. Thus, even if a region is "carried out like a key", it must still be considered as "a related product of a tonic" (MBC 14). Although Schoenberg sees the concept of regions as having derived from that of monotonicity, it is equally possible to see the reverse as having been the case, the larger concept as having derived from the smaller. Since Schoenberg's recurring purpose is to show how, in numerous compositional contexts, a region can be greatly enriched without being challenged, one can see monotonicity as extending this idea to the level of an entire tonal work, its individual regions being part of a larger whole, just as the extensions of a region belong within it rather than to another. Schoenberg's statement concerning the scope of regions seems to characterize his general outlook: "Intermixing of substitute tones and chords with otherwise diatonic progressions, even in non-cadential segments, was considered by former theorists as modulation. This is a narrow and therefore obsolete concept of tonality" (SFH 19).

When, however, harmonic extensions are of sufficient scope, Schoenberg does resort to additional terminology. The terms 'extended' or 'enriched harmony' or 'tonality' imply, none the less, no erosion of tonality, but merely the realization of its potential. Taking the stimulus for such developments as lying in extra-musical factors, Schoenberg suggests that "extra-musical influences produced the concept of extended tonality. Remote transformations and successions of harmonies were understood as remaining within the tonality. Such progressions might or might not bring about modulations or the establishment of various regions. They function chiefly as enrichments of the harmony and, accordingly, often appear in a very small space, even in a single measure" (SFH 76).

Ultimately, however, Schoenberg is prepared to place a limit on the extent to which a tonality may be enriched before it begins to lose its identity through reference to the concepts of fluctuating tonality (schwebende Tonalität) and suspended tonality (aufgehobene Tonalität). Though neither is fully clarified in its original source (TH 383-4), these terms seem to represent two degrees of harmonic ambiguity. 'Schwebende Tonalität' refers to a fluctuation between two (or perhaps more) centres within a passage, as, for example, in the finale of Beethoven's Quartet op 59/2 in C major: "Beethoven begins in a sort of c major which, keeps reaching over toward e minor. Indeed (because c is somewhat distant), it reaches over for the most part even as far as the dominant of the dominant (f sharp - a sharp - c sharp), which can almost be construed as the dominant itself". A more extreme stage

is illustrated in Schoenberg's own song 'Lockung' op 6/7, "which expresses an e flat-major tonality without once in the course of the piece giving an e flat-major triad in such a way that one could regard it as a pure tonic" (TH 383). In contrast, 'aufgehobene Tonalität' suspends even the identity of the opposing forces, involving "almost exclusive use of explicitly vagrant chords. Every major or minor triad could be interpreted as a key, even if only in passing" (TH 384). These terms were subjected to modification in SFH. 'Schwebende Tonalität' is now specifically translated as 'suspended tonality' by Schoenberg, thus destroying the original distinction; indeed, this is emphasized in his retention of a former example of fluctuating tonality, 'Lockung', as now illustrative of suspended tonality. The term 'aufgehobene Tonalität' disappears, to be replaced in MBC and, later, SFH, by roving harmony, used "when a harmony fails to settle down to a definite key" (i.e. region), "but rather uses chords which, through their multiple meaning, can be understood as belonging to several keys" (MBC 14). Elsewhere he specifies these as "diminished seventh chords, augmented triads, augmented six-five and four-three chords, Neopolitan triads ... and fourth chords" (SFH 165); although Schoenberg acknowledges that "even simple triads and dominant sevenths may fail to express a tonality" (Ibid), it is passages that connect the least stable vagrants chromatically that he regards as most characteristic of roving harmony.

Again, however, these concepts still seem to exist within the context of extended or enriched tonality, not actually involving modulation to another region. Schoenberg only seems to have employed the term modulation in cases where a major tonal shift is apparent. Hence he states: "one should speak of a modulation only if (a) a key has been abandoned distinctly and for a considerable time, and, (b) if another key with all its characteristic functions has been established" (MBC 14). Elsewhere, he stresses that "substitute harmonies are to be found in great numbers {whilst} real modulations are few" (SFH 166). Unfortunately, however, the nature of Schoenberg's view is not clarified by his examples. Whilst he carefully uses the term "deviation into regions" in connection with songs and sonata themes (SFH 80), or "change of movement to {a} region" in the case of a half close on the eighth measure of a period (MBC 14), his opening illustration in SFH of the difference between modulation to a region and roving harmony is based on passages of only four bars (SFH 3). His failure to clarify his terminology through examples seems well illustrated in his comment on the first subject of Brahms's Rhapsody op 79/2, whose "modulatory constitution" is evident in its "deviation into many regions" (SFH 175). At root, Schoenberg's difficulties with the scope of the term modulation, as, indeed, with terms concerning the extension of harmony, reflect a final inability to relate an overall concept stimulated by total chromaticism, that of monotonicity, to traditional tonal functions.

Although Schoenberg's terminology is very distinctive, he was not alone in his intention to achieve "comprehension of the harmonic unity within a piece" (SFH 19). Other theorists of his generation and earlier sought to gain a broader view of the functions of harmony, most significantly Riemann and Schenker, to whose writings Schoenberg makes important references. It is in their responses to a largely common repertory and the ways in which Schoenberg reacted to their views that the nature of his approach to the subjects of harmony and tonality, especially in relation to the music of Brahms, may be placed in an initial perspective. A preliminary distinction must, however, be drawn between their approaches to tonality and his. As shown, Schoenberg was preoccupied with defining the boundaries of tonality, hence the concepts of extended, suspended, fluctuating and roving harmony. Such concepts were not introduced by Riemann and Schenker who were concerned with the resources of a single 'tonality', Riemann by reducing all chords within the predominant key to the expression of a tonic, dominant or subdominant function,² Schenker, more radically and at a much later date, by coming to regard the entire harmonic movement as a prolongation of its basic harmonic structure, its 'Ursatz'.³ Consequent upon Schoenberg's interest in enriched harmony is a preoccupation with the means by which it is achieved, particularly, though

not exclusively, through the use of the vagrant chords.

The potential autonomy of these chords claimed increasing attention from Schoenberg, leading to the concept of 'the emancipation of of dissonance'. In contrast, Riemann and Schenker sought to interpret the function of all dissonances in relation to the fundamental structural progressions of a tonality. Dahlhaus has aptly highlighted the difference between Schoenberg and Schenker in pointing to Schenker's criticism of Schoenberg's treatment of non-diatonic notes in the second volume of Das Meisterwerk in der Musik.⁴ These differences in attitude are inevitably reflected in the repertory discussed by these writers and there is insufficient common ground to discuss their attitudes and thus to place Schoenberg's views on tonal expansion in the 19th Century in better perspective. However, if the mature expressions of these writers reflect different emphases, an examination of certain areas, given prominence in the early works of Schenker and Schoenberg, shows an important degree of common ground. All three writers devoted considerable attention to the function of non-diatonic notes in passages which do not serve to bring about modulation. Moreover, they all attempted to explain them in terms of the influence of the church-modes. Their varying treatments of this subject help to crystallize their attitudes towards the enrichment of nineteenth century harmony and, in the cases of Schoenberg and Schenker, to show the unity between their contrasting presentations of the functions of harmony.

Schoenberg's view of the modes is at once illuminating and curious. It is illuminating in that it appears to reveal a stimulus to his concept of regions and thus of monotonicity. It is curious in that he seems remarkably to have misunderstood the nature of the modes and of their relations to one another in the process. Schoenberg describes the nature of the modes as follows in an article of 1931: "They reveal a remarkable phenomenon; the key of the underlying tonal series of which they are composed is different from the key in which the piece really exists. If, for example, a piece is written in the Doric mode on D, the tones of which it is composed are those of C major. But in this mode the tones d,e,f,g,a,b,c, should be related to the fundamental D, and all endings, semi-cadences and all else that expresses the key should refer to this D. Naturally these tones, which are fixed by their intervals, with the leading tones e-f, and b-c, are without a doubt in the C-major tonality. As is well known, these seven tones are the material of the other modes on E, F, G, etc., This contradiction was first resolved when the two principal modes used today were evolved out of the church modes into a predominant position. Up to that time music can scarcely be regarded as tonal, in the present sense of the word. On the contrary, we must concede that the church modes do not at all conform to the law of tonality" (SI 276).

Although this statement is historically inaccurate, it is very revealing of Schoenberg's capacity to interpret the past in terms of his own needs. His inability to accept the

historical fact of the independent identity of the modes springs from his belief that only the major and minor systems provided an adequate basis for harmonic structure. Indeed, he is at pains in all his discussions of the modes save that above to stress the characteristic alterations to which the modes were subject. Hence "As the ear advanced to the major and minor tonality, it was already inspired with the certainty that it was possible to add other tones to the seven diatonic ones generally used. The ear knew that in the series c,d,e,f,g,a,b, no matter what the mode, almost all the missing half steps could be used as accidentals, namely: c-sharp and b-flat in the Dorian mode, g-sharp in the Phrygian, b-flat in the Lydian, f-sharp in the Mixolydian, and g-sharp in the Aeolian - all the tones except d-sharp which appeared only later in transposition. The major and minor tonalities were not based, as might be expected, from the beginning on seven diatonic tones, but included also the four or five non-diatonic tones, which not only served the chromaticism of melodies, but also the development of closed tonalities on the individual degrees, as I call them or, as they are otherwise known, modulation to the nearest keys". (SI 277) These "closed tonalities" formed by modal substitution are none other than the regions, that is, a series of scales, major or minor, on each of the degrees of a central tonality, to which they are subservient. The relationship seems confirmed when Schoenberg speaks elsewhere of modulation to a region as "modulation to another mode and establishment of that mode". (SFH 19).

The modes as such were of no interest to Schoenberg beyond their capacity to provide a theoretical explanation of the presence of non-diatonic notes, Just as he was unconcerned about their independent existence, so he ignored their intervallic characters, regarding systems other than major and minor, which emerged from them, as inferior, since they were unable to express the regions which were based on the major and minor systems. Whilst, therefore, Schoenberg found historical precedent for his concept of regions in the modes, albeit through misinterpretation, he totally ignored their identities in evolving the details of the system, rather stressing that "the minor-like regions substitute those tones which make them similar to the relative minor, {whilst} the major-like regions replace natural tones with substitutes in order to simulate major tonalities" (SFH 21-22).

Schoenberg's individual view of the nature of the modes, taken with his acceptance that they were always altered to bring them into line with modern major and minor scales suggests that he conceived 'tonality' as possessing the potential of an entirely chromatic system from the first. He states that the development towards "foreign harmonies" in the 19th Century" began almost simultaneously with the realization of major and minor tonalities and that {therefore} the art of music was never really in possession of a tonality wholly limited to the seven diatonic tones of the scale" (SI 277). The general assumption that music was based upon a diatonic system arose, in Schoenberg's view, as a result of the limitations of "the

period of homophonic music, when composers restricted themselves on the average to three or four degrees" so that "those possibilities were used less or not at all and were forgotten". Since, however, "major and minor contain all those nondiatonic possibilities inherently, by virtue of {their} historical synthesis", (from the modes), their re-emergence in the 19th Century merely represented a realization of natural potential. (TH 428)

Schoenberg's complete system of regions is in essence an extension of the forementioned theory to embrace all possible tonal relationships within five Classes of diminishing proximity to the tonic. (SFH 68). Just as each of the church modes is considered by Schoenberg as a property of the tonic, so the regions based upon them produce derivations in their turn, identified by their double nomenclature, as, for example, M SM, that is, submediant major of the mediant major. The principle of generation is complemented by another, equally firmly grounded in Schoenberg's thinking, that of the interchangeability of major and minor parallel keys through their sharing of a common dominant. Hence most of the relations of Class 2, termed Indirect but Close, in contrast to the Direct and Close relationships of Class 1, based on modes, arise through the common dominant, which gives tonic minor (t), subdominant minor (sd), the minor chord on the fifth degree (v), mediant major and submediant major (M, SM). Schoenberg refuses to acknowledge the term dominant for the minor triad on the fifth degree, arguing that

this function can only be fulfilled by a major triad. By a process analogous to the use of the common dominant, called proportional transposition, the parallel chords of the tonic minor key on the third and sixth degrees are also related, hence the addition of bM and bSM to Class 2. Although the common dominant also brings the minor modes of these degrees into play, that is, b_m and b_{sm}, Schoenberg places them in Class 3, comprising only Indirect Relations since "the number of tones in common with I is negligible". The rest of this Class comprises mediant relations at the second stage, whether upwards to produce MM, and M_m (through common dominant), or descending, to produce b_{sm}SM, and b_{sm}SM (likewise).

The most interesting assessment of relationships appears in some of the members of Class 4, termed Indirect and Remote. While the inclusion of b MD, b mv (flat mediant's 'five minor') and Np (neapolitan, subdominant minor's submediant major) are all acceptable on grounds of lack of common content with T, the inclusion of dorian (Dor) and S/T (supertonic major) is surprising. Both are directly derived from the modes and should belong to Class 1 on the grounds of "five or six notes in common with T" which justify the inclusion of the other members of that Class. That they do not is reflective of another important stimulus on his thinking, namely, that relations are dependent upon the way that they are introduced in the practice of the period from which he draws his examples. Thus he finds Dor and S/T arising through their respective minor and major relationship to the subdominant major, and places them with the major submediant of the subdominant minor, Np. The

regions of Class 5, termed Distant are all derived by mediant and submediant relationship from the degrees of M, SM, S/T, bm, bsm and bmv.

The evaluation of regions in minor presents greater problems in relation to Schoenberg's basic principles as demonstrated in the major tonality, since the basic ascending scale, being artificial produces alternative triads on every degree save the tonic, making the basis of derivation variable. Schoenberg also stresses the weakness of the minor tonic in maintaining "as direct a control over its regions as a major tonic" (SFH 30) since it can never act as a dominant to its subdominant. Since, moreover, its fifth degree is minor, its status is challenged by the major triad on III which acts like a dominant to VI, and to which VII (sub T) is also attracted as a dominant, thus encouraging modulation to the relative major region.

Although he does not clarify his reasons, Schoenberg ignores the artificial minor scale in favour of the natural minor scale, suggesting only four Direct relations in Class 1, namely M, v, sd and I. The inclusion of I is paradoxical, since, as the parallel mode, it should only appear as an Indirect relationship and only then through a common dominant, which is lacking. The omission of SM is presumably justified by its fifth relation to M, thus being an indirect but Close relation of Class 2. Class 2 also includes D on the basis of interchangeability. Class 3 comprises sm, m and SD, all available through interchangeability with SM, M and sd of Classes 1 and 2. Indirect relations of

Class 4 are sm and SM (submediants of T) m and M (submediant of D), sub t and sub T (a common dominant s of M) and Np (subdominant of the submediant). All other regions are Distant (Class 5). Although Schoenberg implies that relations may equally be based on the ascending scale with substitute sixth and seventh degrees, he does not pursue the consequences beyond stressing, in addition to the functional dominant, the fact that the major subdominant "though here a major chord, seems a greater departure from the tonic region than the subdominant in major". (SFH 73)

If Schoenberg's concept of the regions of a tonality represents a wholly individual realization of the tendencies towards harmonic unity clearly adumbrated in the writings of his predecessors, notably Sechter,⁵ Bruckner⁶ and Riemann,⁷ it cannot be claimed that he drew out the consequences of their ideas with the sensitivity of Schenker. Whilst the concept of monotonicity represents a significant advance as regards broad considerations, that of regions goes only a little way further in its relevance to details of musical process. For although the regions map a pattern of diminishing proximity to the tonic, they do not explain the importance of any one statement of a region as against that of another, of its structural or passing significance, to say nothing of the more detailed hierarchies within the regions themselves. It is perhaps ironical that Schoenberg's desire to discuss tonal features from the point of view of practice, of how they are employed in given compositional contexts, should ultimately

have explained much less about tonal motion and goals than the hierarchical system which Schenker evolved from comparable theoretical roots without special reference to compositional needs.

However, if Schoenberg's concept of regions is distinct from the hierarchical thought of Schenker, Schoenberg still stood closer to Schenker than to any other theorist in his view of the origin of non-diatonic notes, since, as indicated, Schenker alone had a comparable grasp of the scope of tonality. This is already apparent in their respective treatments of the subject in their Theories of Harmony and is fully confirmed in the concepts which grew out of them.

Schoenberg's concept of extended harmony finds a parallel in the distinction which Schenker draws in his Theory of Harmony between real modulation and chromatic change aiding the diatonic system.⁸ Both observed that the addition of non-diatonic notes may serve to enforce the impression of tonality, rather than to weaken it. Both show concern to distinguish between genuine modulation to another key and short-term enrichments which are not modulatory. This similarity of outlook led inevitably to the important parallels between the views of their maturity. Hence, just as Schoenberg's concept of mon²tonality is an extension of the concept of extended harmony to an entire work, so Schenker's concept of the prolongation of the Ursatz springs from the recognition of the basic structure which lies beneath surface modulations. In contrast, and as a consequence of his

limited view of the extent to which harmony may be enriched without implying modulation, Riemann retained a traditional view of modulation, merely describing it as "the change of tonal functions" (of chords).⁹

Further examination of Schoenberg's attitude to Schenker confirms the parallels in their thinking, though also sharpening important distinctions. Although Schoenberg's treatment of Brahms's modality is cursory compared with that of Schenker, his view of the modal origin of non-diatonic notes led him to make a distinction of great significance for his analysis of music of the later 19th Century, particularly that of Brahms and Wagner. He uses his particular interpretation of the relation of the modes to a central tonality to justify a distinction between non-diatonic notes which are introduced quasi diatonically and those which are introduced chromatically; that is, on the one hand "by replacing natural tones with such foreign tones as would make a melody similar to the diatonic scale of the region in question" and, on the other, by "filling out an interval of a major second up or down in one or more voices". (MBC 15) Thus he stresses that "what took place in the Church Modes happened without chromaticism, so to speak, diatonically, as we can still see in our minor mode where the sixth and seventh raised tones ascending are as diatonic as the lowered, descending tones (TH 175). Schoenberg criticizes current teaching for ignoring these distinctions by regarding all alterations within one key as chromatic; he points especially to Riemann since, although Riemann identifies modal influence, he

fails to show its nature and thus to distinguish it from other sources of alteration.

While Schoenberg does not always express the distinctions as clearly as here, sometimes employing the terms chromatic and substitute loosely elsewhere, the distinction seems none the less essential to his view of the primary characteristics of extended harmony; namely, the enrichment of non-modulatory passages through, on the one hand, deviation into regions, and, on the other, the avoidance of progressions which express any region at all, thus creating roving harmony. Although Schoenberg also criticises Schenker for lack of clarity in defining his ideas (TH 408), his general claim to stand close to Schenker in his attitude towards the past is justified if Schenker's concept of tonicalization is placed beside Schenker's concept of quasi diatonic substitution.

For Schoenberg, quasi diatonic substitution expresses a region not merely by the use of its characteristic scale features, but by equally clear harmonic models. Hence he states that "artificial dominants, artificial dominant sevenths chords, and artificial diminished sevenths chords are normally used in progression according to the models V-I, V-VI, V-IV ... This is because their thirds are leading tones". (SFH 16). Elsewhere Schoenberg stresses the role of these chords as dominants of the modes, hence the functional significance of these models in his system of Regions. Although Schoenberg disputed Schenker's use of the term tonicalization to describe the process by which a composer "yields to {the } urge of the scale step within the diatonic system ...to attain the value

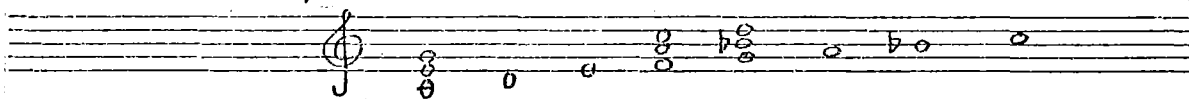
of the tonic for itself",¹⁰ his identification of the process bears a strong relation to that of Schoenberg. Hence, Schoenberg's basic models V-I and V-VI find parallels in Schenker's Classes of tonicalization by fifths and by upward progression of a second.¹¹ Although Schenker also includes progressions by descending thirds,¹² as deriving from the same acoustical foundations as the fifth progressions, he concludes that they are less effective than those forementioned for purposes of 'Tonicalization'. He therefore reaches the same conclusions as Schoenberg with regard to the importance of V-I and V-VI progressions, though he ignores the V-IV progression stressed by Schoenberg. (SFH 28).

Schoenberg's objection to Schenker's terminology rests on the fact that Schenker applies the term 'tonic' in situations where no tonality can be inferred, as, for example in the progression III-IV, where "the second chord is not the tonic of the first, and the first is not the dominant of the second". (TH 428) He therefore dismisses Schenker's concept of deceptive cadence chrom- atization,¹³ arguing that, since the tonic never appears, the progression can in no way be associated with it. Though accepting Schenker's observations on the way in which individual degrees are given prominence, Schoenberg further challenges the use of the term 'Tonic' for degrees which are secondary and stressed not by the dominant of the tonality but the dominants of the modes which lie within it.

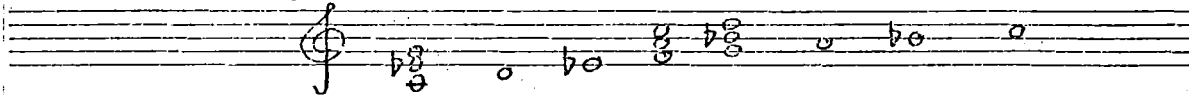
Although Schenker is at pains to stress the capacity of modern tonality to reflect its modal origins, he has a much greater

interest in the identity of the modes themselves than has Schoenberg. Whilst Schoenberg is only concerned with the major and minor systems, showing their capacity through alteration to suggest the modes, Schenker identifies six distinct scales which may be produced by the combination of different elements of the major and minor scales.¹⁴ His principle of 'Combination' yields not only the conventional harmonic and melodic minor scales, but four other scales, two of them identical with modes. These are the 'Mixolydian System' (major scale with flat seventh, giving a minor triad on the fifth degree); the 'Old Dorian System', (minor scale with sharp sixth, giving minor chords on the tonic and fifth degree, with major subdominant); the 'second series' (a mixture, with major third and minor sixth, giving a major chord on the tonic and fifth degrees, with minor on the fourth), and the 'Sixth Series', another mixture, with major third and minor sixth and seventh, giving a major chord on the tonic and minor chords on the fourth and fifth degrees:

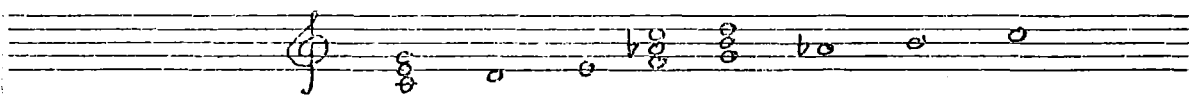
MIXOLYDIAN SYSTEM



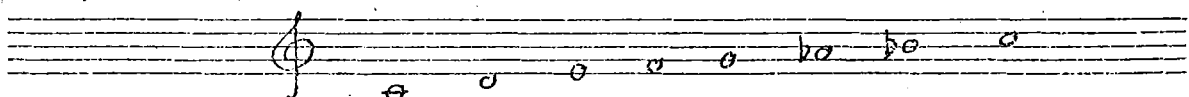
OLD DORIAN SYSTEM



SECOND SERIES



SIXTH SERIES



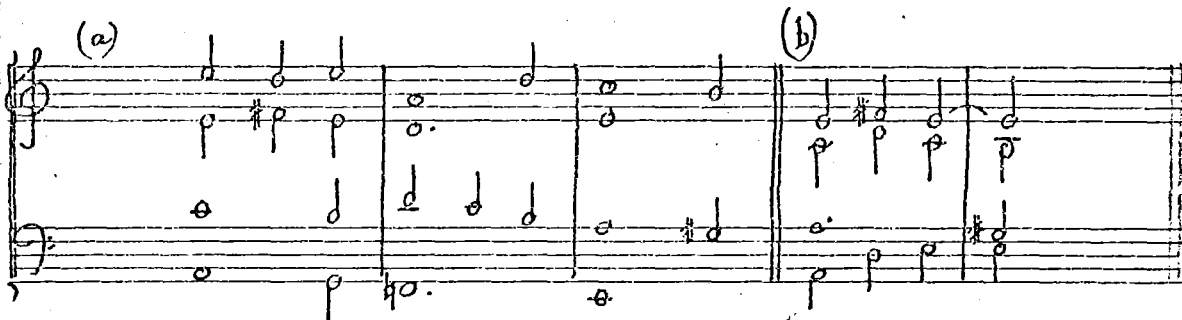
The 'Second Series' is of considerable interest, since it is identical with the scale which is most frequently noted by earlier theorists as a variant of the diatonic system.

Hauptmann¹⁵ proposed the term 'minor-major' for this scale and Riemann¹⁶, seemingly independently, used both this and the term 'major-minor'. This scale, seemingly identified through the frequency with which the minor chord appears on the subdominant in the major tonality in 19th Century music, is not related to the modes by Hauptmann, who, indeed, never discusses them. Riemann, on the other hand, groups it with the church modes in lacking the 'purity' of the major and minor systems.¹⁷

Riemann's view of the nature of modal influence stands much further from Schoenberg than that of Schenker, prompting, considerable criticism from Schoenberg in TH (427). Unlike Schoenberg and Schenker, Riemann did not view the modern tonal system as containing the possibility of enrichment without implying modulation. For Riemann, the addition of virtually any non-diatonic note represents a special case, a view naturally challenged by Schoenberg in the light of his fore-mentioned theories and the kind of music in which he was interested. Hence Riemann states that "the charm of such turns rests in the momentary upsetting of the tonality, in a certain wavering of conception between acceptance of an intended modulation and the retaining of the key, upon which the continuation "first decides".¹⁸ Riemann ascribes all these changes to the influence of the study of compositions of the

15th - 17th Century, producing the "vagueness of key" which he regards as characteristic of them and on which he dwells at some length.

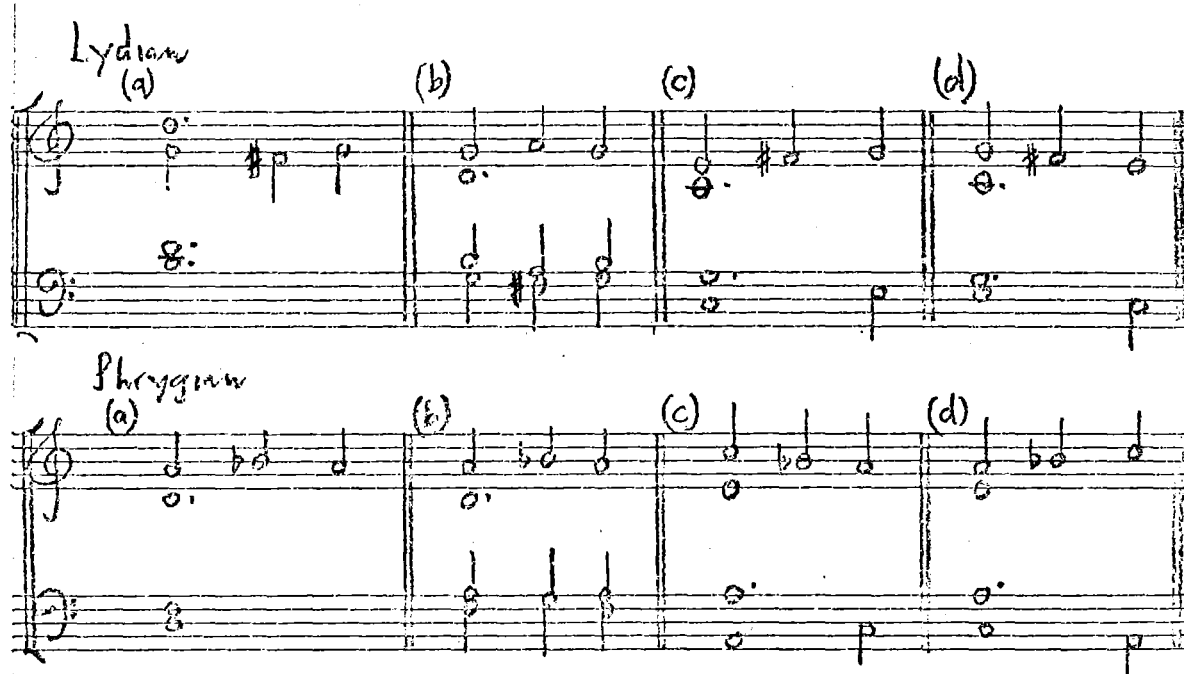
The "characteristic turns" to which Riemann refers are designated by the terms 'Dorian Sixth', 'Lydian Fourth' and 'Mixolydian Seventh'. "The major sixth in the minor scale (raised third of the subdominant), if used unnecessarily, without modulation and without melodic rising to the third to the major upper dominant, will always produce turns like those peculiar to the Dorian mode of the fifteenth to the seventeenth century".¹⁹



"Likewise the minor seventh in the major scale, introduced without modulation and without the third of the subdominant following in the same part, will reproduce the peculiarities of the Mixolydian":



"The Lydian fourth and Phrygian second also bring about peculiar variations of the plain harmony proper to the scale". Riemann regards the 'Lydian fourth' as "in the first place, an auxiliary note of the upper dominant fundamental note and an approach to the tonic fifth". He finds the 'Phrygian Second' appearing as "an auxiliary note to the minor subdominant prime, (and as) a passing note between tonic third and fifth".²⁰

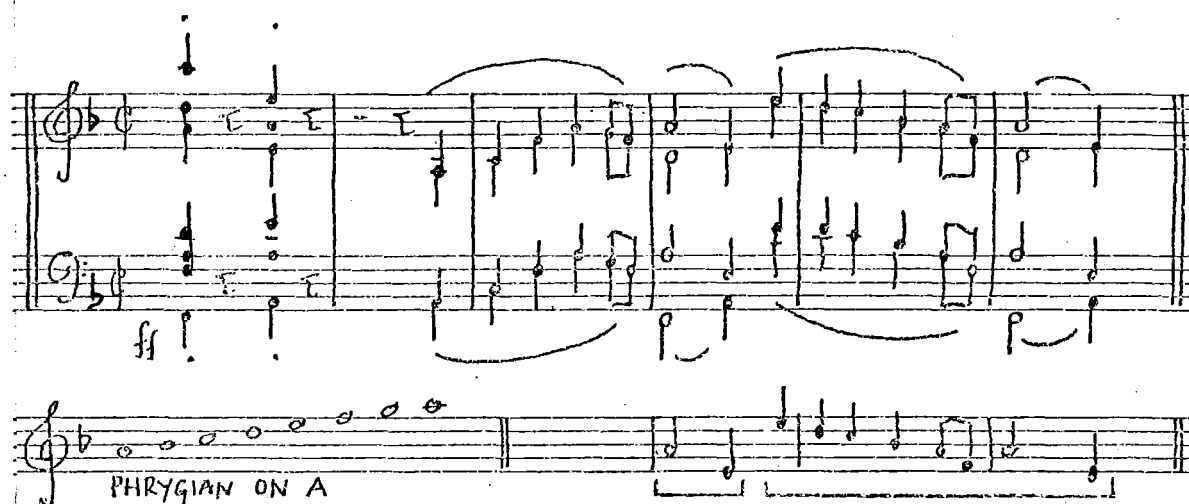


Whilst Riemann accepts the retention of the term 'Neapolitan' for the harmony created by the use of an auxiliary note to the minor subdominant, he stresses that the feature is of Phrygian origin. Here and elsewhere,²¹ Riemann ascribes to modal influence variations on diatonic harmony of a scope which rather strains his emphasis on their "characteristic" qualities.

These basic differences of outlook led Schoenberg, Schenker and Riemann to quite different responses to the music of the later 19thC , especially to that of Brahms; Brahms occupied a unique position in the period not merely because of the richness of his harmony and its intentionally archaic effects, sometimes employed in very subtle and far-reaching ways, but because of his profound interest in the past. As a pioneer amongst composers in the study and performance of Baroque and Renaissance music, the nature of Brahms's harmonic innovations and their possible stimuli is a matter of great importance in the development of 19th C harmony. While this point was grasped, though in different ways, by Riemann and Schenker, it found no place in Schoenberg's theoretical apparatus, despite his acknowledgement of the archaic effects in Brahms's music (TH 427 and SI 140). Although this response was perhaps understandable in view of his belief in the superiority of major and minor scales as a basis for harmonic structure, it nonetheless represents a considerable omission from the writings of one who chose to emphasize Brahms's influence on later composers. Indeed, later composers who might have been influenced by Brahms are treated with an equal lack of interest. "In contemporary music based on modal principles that I have heard, the use of the modes sounded to me more like a melodic mannerism than like an expression of new tonal configurations". (SI 141).

Schoenberg's only detailed reference to Brahms's modality comes in relation to the opening of the Tragic Overture op 81. He states that this "suggests a mode at its beginning. But whether this is Phrygian, as in the progression A to E and the third phrase (which

contains the tritone E - B flat) indicates, or whether the root progression D - A (I-V), the ending on D and other features indicate D major-minor is rather difficult to decide.

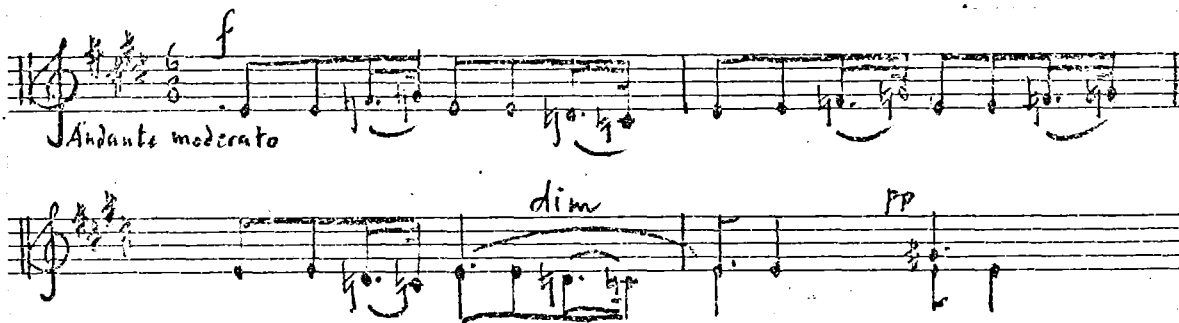


Especially because of the rich modulation which just in the beginning tends toward a minor subdominant region of F - rather far from the Phrygian, a decision is dangerous" (SI 140). This "minor subdominant region on F" comes as late as bar 37, that is, almost at the end of the first subject, which closes in D minor at bar 41.

Schoenberg's unwillingness to commit himself to a modal explanation is quite natural, given the length of the passage he is considering. While the opening certainly presents interesting points, the main span of the section is more straightforward and can hardly be considered as revealing modal preoccupations. Moreover, Schoenberg's preference for the major and minor systems encourages him to view the opening passage as lying in the minor key, (with a temporary stress on the mediant, F, in bars 3 and 7-8). He does not seem really tempted to overlook the basic progression D - A

in favour of a Phrygian structure on A, despite Brahms's omission of the C sharp from the A chord.

Riemann, on the other hand, devotes detailed consideration to passages in Brahms involving non-diatonic notes. Since the first source of Riemann's remarks on Brahms's harmony dates from 1889,²² it is not inconceivable that Riemann's frequent use of modal terminology in later writings was partly stimulated by his studies of Brahms. The importance of the subject to Brahms himself can be gauged his correspondence²³ and was also stressed by Spitta in an article published shortly after the first Riemann source, in 1892.²⁴ Riemann's tendency toward the mere labelling of passing detail at the expense of a view of the whole is clear when he discusses the slow movement of the Fourth Symphony op 98. Here he ignores the particular modal interest of the opening unison theme:

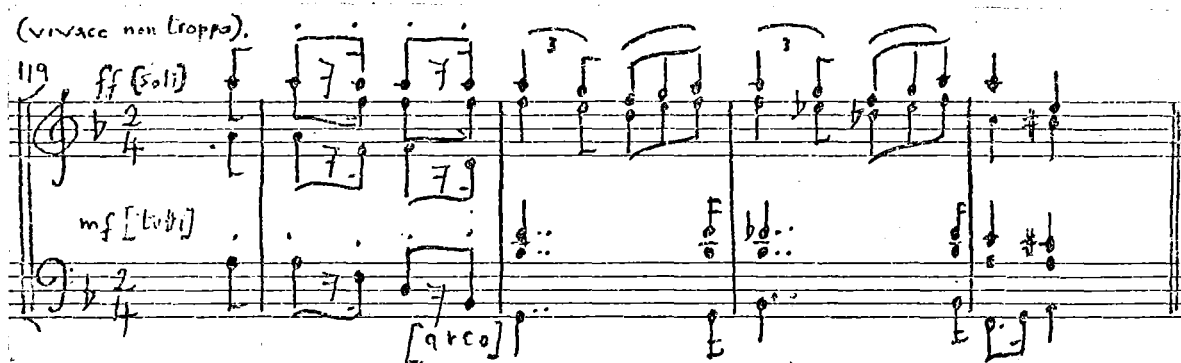


In favour of a lengthy discussion of the less striking variations of the diatonic key of E major in the first bar of the main theme proper, at bar 5.



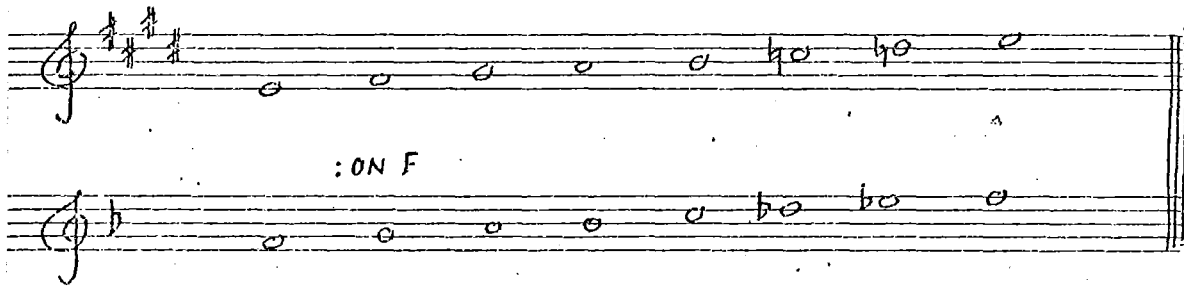
In a source where he does discuss the opening unison passage, an analysis published in 1908,²⁶ he states that it must be taken as "A minor (not C major)", ignoring a Phrygian interpretation. He rather stresses Phrygian influence in the progression of the preceding example, at bar 5, regarding the progression e-d-c-b as a "Phrygian turn", since it forms the upper half of the Phrygian scale. Yet, the Phrygian scale is much more in evidence at the outset; in the light of the subsequent establishment of E major, albeit coloured slightly, a strong case can surely be made for Brahms's conscious juxtaposition of the diatonic and modal scales on E to create a harmonic ambiguity which is exploited later in the movement.

To this example Riemann adds another in the earlier source, the central theme of the finale of the Double Concerto, op 102:²⁷



Although his claim that the first example employs Hauptmann's 'Minor-major' scale is inaccurate,²⁸ the scale being rather Schenker's 'Sixth Series', with minor triads on the fourth and fifth degrees, the harmonic emphasis is certainly on the distinguishing feature of this scale, the flat subdominant, with the minor seventh as a passing note and the same observation applies to the second example:

SIXTH SERIES : ON E



Although Schoenberg makes no precise reference to Riemann's article of 1889, one may assume that he had it in mind when making his forementioned criticism of Riemann in TH, since it represented Riemann's most important discussion of Brahms to that time. Thus his reaction to Riemann's view can be anticipated, namely that Riemann isolates individual phenomena which ought to be explained as natural properties of tonality. Indeed, Schoenberg's criticism could go further, since neither the minor-major scale nor the phrygian mode is used without alteration, Riemann rather combining the two to explain Brahms's use of a major scale with lowered sixth and seventh, and thus invalidating either a synthetic or modal exploration of Brahms's scale.

Whilst the consequences of Riemann's attempts to relate the richness of Brahms's harmony to specific scalic origins at any one point justifies Schoenberg's view, Schoenberg's avoidance of the discussion of genuinely modal compositions is a considerable

omission. It is rather to Schenker that one must look for a serious discussion of Brahms's attempts, though here again, the more profound examples of modal influence are not mentioned. Schenker concerns himself with the Chorus 'Vergangen ist mir Glück und Heil', op 64/7 (also set as a solo song in op 48/6); this is one of Brahms's consciously archaic pieces, written in D minor with no key signature, thus presenting itself as Dorian:

Andante

The musical score is handwritten and consists of four systems of staves. Each system has a treble staff and a bass staff. The tempo is marked 'Andante'. The key signature is D minor (no key signature). The time signature is 4/4. The score includes dynamics such as *p* (piano), *f* (forte), and *mf* (mezzo-forte). The music is written in a style that is both archaic and modern, with a focus on harmonic structure and melodic lines. The first system begins with a piano (p) dynamic. The second system features a forte (f) dynamic. The third system has a mezzo-forte (mf) dynamic. The fourth system concludes with a piano (p) dynamic. The score ends with a double bar line.

Schenker sees this piece as standing in direct succession to the Lydian movement in Beethoven's Quartet op 132 in A minor, the latter being more widely quoted since Beethoven identifies his harmonic intentions in the title. Schenker is at pains to stress that, although Beethoven believed himself to be writing in the Lydian mode, he achieved this effect solely through the resources of the modern tonal system, notably through 'tonicalization' of the second degree to avoid B flat, and by simulating an archaic style through the "chorale-like progression of the minims, the consistent preference given to triads, which, in most cases, even appear in their root positions, ...and, especially, the strict avoidance of any chromatic progression".³⁰ Brahms achieves a comparable effect of archaism by abstaining at all expected points from any reference to the B flat characteristic of D minor and also "treats the four part composition as a chorale and limits himself in the strictest possible way to the use of triads, which, without any exception, appear in their root position".³¹ Whether, as Schenker seems to have assumed, Brahms genuinely believed himself to be writing in the mode can, in view of his profound understanding of the development of harmony, be doubted. Moreover, Brahms was likely to have been influenced by many modal stimuli other than the Beethoven movement. One can, indeed, see a more advanced simulation of modal effect in this example than in the Beethoven example, and make stronger claims for Brahms's achievement than does Schenker.

Whereas Beethoven relies entirely on V of V, stressing these two fifth-relationships as alternative harmonic centres at the close of the second and third phrases, Brahms's phrases themselves have a stronger modal identity, whilst avoiding modulation. Hence, whilst the progression b, -c sharp - d in the alto part at two cadences, which determines the harmonic progression (major) IV - V - I, belongs to dorian and minor alike, thus making the simulation of dorian impossible at this point, Brahms stresses the C natural and B natural within each phrase so as to obscure the cadential goal to a much greater extent than in the Beethoven example, and therefore simulate the mode. The first phrase can not be regarded as belonging clearly to A minor, since it lacks G sharp. If it has to be ascribed to any one scale it is the Aeolian mode regarded by Schenker as the legitimate minor scale. Only at the first cadence is Dorian suggested through the inclusion of C sharp, which is confirmed as a leading note in the second phrase. Furthermore, the opportunity for tonicalization of A minor in bar 10 is avoided, thus preserving the identity of the Dorian mode disturbed only by the acceptable use of C sharp for cadential purposes. The appearance of B flat in the final phrase is no evidence against this mode since it is only used to avoid the diminished triad, a fact Schenker accepts as characteristic of modal practice. Given this view, however, it is strange that he should regard the C sharp which appears at cadences as evidence of D minor. Although he accepts its cadential use in the Dorian, he merely regards this as evidence that the modes "never led an independent and wholly natural existence".³²

If Schoenberg had less interest than Schenker in the nature of Brahms's modal effects, their shared recognition of the capacity of modern tonality to accommodate seemingly opposing elements led them to an equal interest in Brahms's methods. Whilst Schoenberg does not comment on Schenker's Brahms examples in the latter's Theory of Harmony he would doubtless have supported Schenker's view of Brahms's importance in the field of harmonic enrichment by tonicalization, despite Schoenberg's query regarding the terminology; this is well illustrated by Schenker through reference to Brahms's establishment of A major as an integral part of F major in the second theme of the first movement of the Sextet op 18.³³ Whereas, however, their acknowledgement of Brahms's harmonic resource was similar, Schenker did not place this insight in broader perspective through reference to other kinds of enrichment. Indeed, he expressly warns against the use of chromaticism for any other purpose than to "illuminate and clarify the diatonic relationships". He revered Brahms as 'the last master of German music'³⁴ largely because he saw Brahms as recognizing an "heirloom of our art";³⁵ that is, chromaticism in the service of the diatonic system, to a striking extent, in contrast to the limitations of the younger, more 'chromatic' composers. It is a consequence of Schenker's outlook that he does not seek to balance Brahms's use of 'chromaticism' against that of more 'progressive' composers, most notably Wagner. Schenker's view of harmonic enrichment was one-sided. It is rather to Schoenberg that one must look for a balanced interest in the tendencies of late 19th Century music, especially the methods of Brahms and Wagner. Although, as Schoenberg stresses at the

beginning of 'Brahms the Progressive', the composers of his generation had been equally open to both influences, it was Schoenberg alone who gave expression to their contrasting tendencies in theoretical terms. It is, therefore, to the examination of the place of Schoenberg's analyses of Brahms's music within his conceptual thought that I shall now turn.

SECTION TWO

2

HARMONIC AND TONAL RELATIONSHIPS

IN BRAHMS

Schoenberg's writings on Brahms's harmonic and tonal procedures cover two main areas. On the one hand, he stresses Brahms's affinity with his predecessors in the employment of certain long-term relationships between and within the individual movements of extended works; on the other, the resource of Brahms's methods in the shorter-term context of the structure of themes and sections. It is in the latter area that Schoenberg regards Brahms's contribution as the more significant, assessing his procedures as markedly innovatory and arguing that his importance is comparable with that of Wagner, though of a different nature. In view of its importance, and the stress which it receives in 'Brahms the Progressive', this area claims prior attention. In contrast, Schoenberg sees Brahms's treatment of long-term relationships in a much broader and less distinctive historical perspective.

Schoenberg discusses the shorter-term aspects of Brahms's harmonic relationships in the chapter 'Progressions for Various Compositional Purposes' in SFH and, though less systematically, in 'Brahms the Progressive'. It is, however, in the latter source that the central parallels with Wagner are drawn. Schoenberg makes two basic observations concerning Brahms's relation to Wagner in this context. On the one hand he argues that there exists "no decisive difference ... as regards the extension of the relationship within a tonality", thus equating their historical significances. On the other, however, he distinguishes very sharply between their individual procedures. Thus, while he sees Wagner's language as "richer in substitute harmonies and vagrants, and in a freer use of dissonances, especially of unprepared ones", it is equally seen as moving "rather less expansively and more slowly ... in strophic, songlike forms and other structures, such as represent the Wagnerian version of arias than in similar forms by Brahms" (SI 405). Since his illustration of the second of these points is much clearer than of the first, it claims prior attention.

Schoenberg laid great emphasis on the speed of Brahms's deviation into regions within themes and sections, especially at the opening of a work. His attention was drawn to the structural interest of a composer who revealed developmental tendencies in circumstances where, normally, "'establishing' conditions exist". (SFH 73). He frequently expressed the view that "even the most progressive composers after Brahms were carefully avoiding remote deviation from the tonic region in the beginning of a piece" (SI 402). In illustration of his point, he suggests the comparison of three themes by each composer. The Brahms themes are

the opening subject of the String Quintet op 111, the Rhapsody op 79/2 and the song "Meine Liebe ist grün" op 63/5. The Wagner themes are Siegmund's "Winterstürme wichen dem Wonnemond" (Die Walküre, Act 1, Sc. 3), Mime's "Als zullendes Kind zog ich dich auf" (Siegfried, Act 1, Sc. 1) and the song of the Rhine Daughters (SI 405). Schoenberg does not specify his source for the latter, although the 'closed' form in Götterdämmerung Act 3, Sc. 1 claims priority over the passage in Das Rheingold Act 1, Sc. 1 in this context.

The Brahms themes clearly support Schoenberg's claim for the speed of Brahms's deviations and the first two examples are also quoted in SFH to illustrate the same point (82, 175). The most striking example is provided by op 79/2, the first subject of which does not state the tonic chord at all, this only appearing for the first time in the transition, and leading Schoenberg to observe of the theme that "it almost avoids establishing a tonality" (SI 405).

Brahms: Rhapsodie in g-moll, op. 79

164. $\textcircled{1} \text{ V VI F\#m VII SD F\#m V}$

5 $\textcircled{1} \text{ SD V VII I SD VI \# IV I \#}$

9 $\textcircled{1} \text{ SD V SD VI V IV V I}$

14 $\textcircled{1} \text{ V I IV}$

15-20 etc. $\textcircled{1} \text{ \# V I}$

21-32 etc. $\textcircled{1} \text{ \# V I}$

His analysis shows it as moving through the regions of SD and SM and sm (Classes 3 and 4) before restating the tonic. Moreover this 'tonic' is in fact part of the transition to the key of the second subject, functioning as IV in the region of v minor; thus the passage does fail to establish a tonality, unless one regards major and minor as interchangeable, a cadence in G major appearing at bar 4. Schoenberg does not comment on Brahms's omission of the third, F sharp, from the opening 'dominant' chord. Yet it adds greatly to the tonal ambiguity of the opening bar which, as heard, can be variously interpreted, an ambiguity not caught in his analysis which only registers in the tonic.

Schoenberg makes no comment on the relation between this theme and the song op.63/5 and no published analysis of the latter is available. Here, although the tonic chord is more frequently stated and the modulations are less adventurous, its identity is not fully apparent until the end of the passage. Since the passage begins on the sixth degree, the initial progression of VI - ~~IV~~ - I $\frac{5}{4}$ - V - I could be interpreted as effecting a modulation from D minor to F major, rather than establishing the latter. Although an interpretation in D minor is not possible from this point, an interpretation of F major as tonic is carefully deferred, first by using it as V to SD, which then serves as bVII in C major. However, in turn, the interpretation of this chord as V of the tonic is again challenged by chromatic inflexion, leading to a chord of E flat, acting as V in A flat major, which finally relates to the tonic through F minor:

Lebhaft

Handwritten musical score for "The Rose Tree" in F major, 2/4 time. The score is written on ten staves, alternating between treble and bass clefs. It includes various musical notations such as notes, rests, and dynamic markings like "f" and "p". There are also handwritten annotations in circles and boxes, including "F: (T)", "d: (S)", "T", "SE", "A: (BM)", and "I". The piece concludes with a "Tete" marking.

The op. 111 theme represents a different kind of structure, since it is longer and more expansive and establishes the tonic at the outset without any ambiguity. However, its use of regions confirms Schoenberg's basic point concerning Brahms's tonal scope in themes. The analysis shows movement to the regions of sm, M and t before full return to the tonic, that is relationships of Class 2. Although these regions are not as distant as those in the first example, the extent to which Brahms stresses the region on M to which sm leads as IV, suggestions of which persist later than Schoenberg indicates, is striking and supports his choice of the example:

Brahms: Streichquintett, op. 111

The image shows two systems of musical notation for Brahms' Streichquintett, op. 111. The first system is marked with a circled '85' and contains four measures. Below the staff, the harmonic analysis labels are (T), I, V, I, and VI. The second system contains four measures. Below the staff, the harmonic analysis labels are (P) f, IV, (5th) IV, II, III, V, VI, and I. The notation includes various musical symbols such as notes, rests, and dynamic markings.

First system of musical notation. The treble staff contains a melody with eighth and sixteenth notes. The bass staff contains a figured bass line. Below the staves, the following chords and figures are indicated: (T) VI, (M) IV, #, I⁶, V, II, IV.

Second system of musical notation. The treble staff continues the melody. The bass staff contains a figured bass line. Below the staves, the following chords and figures are indicated: (T) VI, (M) IV, #, I, VI, IV, II, I⁶, V, VII.

Third system of musical notation. The treble staff features a melodic line with a 'Gua' marking above it. The bass staff contains a figured bass line. Below the staves, the following chords and figures are indicated: (T) IV, (i) IV⁺, VI, #, V.

Fourth system of musical notation. The treble staff features a melodic line with a 'Gua' marking above it. The bass staff contains a figured bass line. Below the staves, the following chords and figures are indicated: (T) #, II, IV, V, I.

The first theme of op 51/1 -III, shows a more extensive application of the principle apparent in the example from op 79/2. "In m. 1-6 there appear only a few harmonies belonging diatonically to f-minor; but most of them (at*) could be understood as Neopolitan 6th of c-minor, an explanation supported by the immediate continuation. The deviation in m.3 towards E flat is surprising. While E flat might be dominant of the mediant region (relative major), it is actually treated like a tonic on VII. But in m. 7-8 Brahms finally identifies m. 1-2 and 5-6 as pertaining to c-minor, or, more accurately, to the v-region of f-minor" (FMC 30).

E♭. 51

a) BRAKMS String Quartet Op. 51/I-III

Allegro molto moderato e comodo

Mediant region: I

Dominant region: II

The Wagner examples cited cannot rival any of the preceding in tonal scope. They reveal either extreme simplicity in basic progression, as in the outer parts of the first, second and fourth and almost all of the third, or the use of continually roving harmony, as in the middle sections of the first, second and fourth. Of the simpler passages the first part of "Winterstürme wichen dem Wonnemond" is the least ambitious. It is built almost entirely on a dominant pedal with a lengthy introduction and a very brief conclusion on the tonic, B flat. The second section stands in total contrast through its rapid harmonic movement, which never settles in any distinct region relative to its length; whilst certain chords appear stressed through introduction by their dominants, they are not confirmed thereafter as in the Brahms examples and Wagner uses a variety of interrupted cadences to avoid establishing centres until the return of the tonic.

(APPENDIX EXAMPLE 1)

Similar features are present in the shorter example "Als zullendes Kind", where tonic and dominant pedals are used for the opening section, balanced in the closing section by the use of a dominant pedal under mainly tonic harmony. The second section again roves extensively without settling.

(APPENDIX EXAMPLE 2)

Though making less use of pedal, the "Rheintöchter" passage from Götterdämmerung is very prescribed in its basic harmony which, with small digressions, is built entirely

on tonic and dominant.

(APPENDIX EXAMPLE 3a)

The "Rheintöchter" passage from Das Rheingold, though not as closed as the preceding examples, reveals comparable features, closest in detail to the first example, here with a tonic pedal under a chord IV in E flat. The subsequent movement of the harmony, up to the entrance of Alberich, does however establish a region, that of the dominant B flat, in contrast to the roving harmony of the preceding examples. Yet the relation of this region to the tonic is very close, much closer than any of the Brahms regions, and, taken in the context of the massive introduction in E flat major, appears to be on rather than in the dominant.

(APPENDIX EXAMPLE 3b)

Although these examples are cited to illustrate the less expansive nature of Wagner's harmony relative to that of Brahms, they also relate to Schoenberg's point concerning Wagner's greater richness as regards substitutes, vagrants and the freer uses of dissonances. Of Schoenberg's vagrant chords Brahms's harmonic vocabulary contains here nothing more complex than the diminished seventh used in a simple cadential context in op 79/2 (bars 3-4). Schoenberg's interpretation of the chord as of dominant function in this example arises from his view that all diminished sevenths are to be understood as incomplete ninth chords with ninth omitted, (TH 192-201); however, it can surely be regarded equally as an altered subdominant, a variant of the preceding chord. A more advanced use of the diminished seventh chord is to be found in the

development section of this work, (bars 37-40) where it alternates over a B flat pedal with a seventh chord which implies a dominant function, confirmed when the passage is repeated (bars 45-48). The ornamental function is intensified in the repetition, with successive diminished sevenths in descent.

(APPENDIX EXAMPLE 4)

In contrast, Wagner sets the diminished seventh in a more ambiguous context in the later development of "Als zullendes Kind" (*Score*, p 39, system 3). Here a conventional resolution in terms of F minor is successively delayed, leading first to an augmented triad on G flat (Np), thence to a seeming dominant seventh on B flat whose resolution to E flat minor (sub t) is interrupted; the passage then roves until the restoration of the tonic. The augmented triad is also prominent elsewhere in the Wagner passages. It appears either as a self-sufficient chord or as the consequence of an appoggiatura. The harmony of the present passage is constantly made more complex by the use of appoggiaturas and alterations which far exceed those in the Brahms examples. Even the Wagner examples which show the least harmonic movement through the use of pedal greatly enrich the harmony through the use of appoggiaturas, most obviously the "Rheintöchter" passages.

Whilst the foregoing examples certainly support the distinctions which Schoenberg draws between the themes of Brahms and Wagner, they represent but a tiny sample of possible themes for comparison. In the absence of more critical discussion by Schoenberg himself, it seems necessary to set his general points in a broader context by posing two basic questions: In the first case, one must ask to what extent these observations are typical of the themes of the composers cited; secondly, and more significantly, whether comparisons of this kind are of any real value in characterizing the differences between composers working in such different fields. The assessment of the typicality of an example depends on reference to a norm for its class and, indeed, Schoenberg is constantly at pains to stress that the character of a musical idea is determined by its function, whether expositional, developmental, transitional and so forth. Since the three Brahms themes each have a different function, each presupposes a different norm for evaluation. Further, and more significantly for Schoenberg's argument, it is clearly difficult to relate the norms appropriate to Brahms to those appropriate to Wagner. Despite Schoenberg's reference to the "similar forms" in their work, he advances no criteria for comparison and no obvious basis exists. In conclusion, therefore, only at the more restricted level of typicality within

a class and within, rather than between, their outputs can his examples be assessed.

The Brahms themes fall into the classes of sonata theme and strophic song. The instrumental themes may, however, be further sub-classified, that of op 79/2 belonging to the class of 'rhapsody'. As Schoenberg, and also Schenker,³⁶ are at pains to stress, the remarkable scope of the deviations in Brahms's Rhapsody arises as a consequence of the genre, which presupposes a much freer harmonic scheme than would apply to a sonata theme. While this example is certainly more advanced than many other examples with which it might be compared in the period, notably those of Liszt (also analysed in SFH (177)), it should be pointed out that it represents an extreme case even in Brahms's output. The other Rhapsodies, op p.79/1 and 118/4 are much simpler in the harmonic resource of their main themes.

Although the first subject of op. 111 is, in principle, the more significant of the two instrumental examples, it is similarly uncharacteristic of Brahms's output in this genre. The primary themes of Brahms's sonata movements can be broadly divided into three classes. The most common class comprises themes which, though certainly roving widely, only imply, rather than confirm, regions. Of the classes which establish regions, most establish only one, sometimes as a goal prior to the return of the opening, rather than an internal digression, as in the Piano Quartet op.26 (mediant) and the Serenade op.11 (dominant). The clear deviation into several regions in the op.111 example is rare, a consequence of its particularly developmental nature and no more generally

typical than the remarkable example from op 51/1 - 1, to be discussed subsequently; the latter belongs to the most advanced class of harmonic deviation, including distinct contrast of theme for a considerable duration, and can only be compared with one other example, the opening subject of the Piano Quartet op 25. It is of interest that the other sonata theme coupled with the op 111 theme in SFH (84), the first subject of the Piano Concerto op 15, moves to only one region in Schoenberg's analysis, one of the closest possible - the Dominant. Indeed, since no modulatory connection exists, one could well challenge this interpretation and regard the passage as resting on, rather than in, the dominant. The interest here resides rather in the tonal ambiguity of the opening, causing Schoenberg to register it in two regions at once. He does not, however, pursue the significance of this feature in Brahms, nor draw the obvious relation with the opening of op 79/2 theme, which similarly stresses chord V1 in first inversion.

Schoenberg ascribes the use of enriched harmony in songs to the requirements of description. It therefore follows that songs with the most expressive texts will tend to employ the most "extravagant modulation". Although other examples of comparable harmonic interest, employing similarly expressive texts, can be added to "Meine Liebe ist grün", many other themes are of much simpler structure, even setting aside the numerous folk-type themes set as solo songs, or simple themes devised for variation. Indeed, even the example cited in SFH (80) as evidence of enriched harmony, "Der Tod, das ist die kühle Nacht", op 96/1,

hardly bears out Schoenberg's general observation; although its latter part touches on two regions in his analysis, the first six bars from a total of thirteen are entirely in the tonic, in complete contrast to the example on which he bases his general point concerning the speed of Brahms's modulations.

In conclusion therefore, Schoenberg's original examples are by no means characteristic of Brahms's output as a whole. They represent selected models of a particularly advanced type from which he abstracted norms of complexity for Brahms's music which are misleading. A similar criticism can be levelled at his Wagner examples when considered in relation to a broader selection.

The nine Wagner examples cited as evidence of extended tonality in SFH reveal a considerable divergence from the norm suggested in 'Brahms the Progressive' (SFH 403-8). Three examples show distinct deviation into several regions. Ex.117

("Blumenkränzlein-Motiv", Die Meistersinger) clearly moves through bM at bar 5 to establish D at bar 6. Ex. 118 ("Hans Sachs'

Schusterlied", Die Meistersinger, Act 2) moves through sm, bar 5, m, bar 6 and D, bar 9. Ex. 120 (Prelude to Act 3, Parsifal)

establishes sm in bar 6, and m in bar 8. Moreover, Ex.118 presents a very quick movement from the tonic B flat to sm, G minor, comparable with some of the Brahms examples. Had

Schoenberg quoted these themes in their entirety, these points would emerge even more clearly. Schoenberg also registers some much less significant 'modulations' in regions. Ex.113 ("Elsa's Traum" , Lohengrin) moves to bmM and SM. Ex.114 (Overture to

Tannhäuser') moves to bm and bmbm. Ex. 115 ("Lied an den Abendstern". Tannhäuser) moves through sm, SM and SMsm; the movements in the last example, though part of a long theme, all occur very quickly, (bars 25-31). These latter examples of passing modulations are, however, in no way comparable with the broader planning of the first group, nor indeed, with the Brahms examples.

Many other themes, especially song structures of clear identity, can be added to these examples to balance against Schoenberg's interpretation of examples in 'Brahms the Progressive'. The limitations of his conclusions there can be further demonstrated through reference to the harmonic vocabulary of the forementioned themes. The "Blumenkränzlein-Motiv" employs a relatively limited harmonic vocabulary, interest residing only in the dissonance arising from the tonic pedal G at the outset. Though richer, the seventh chords in "Hans Sachs' Schusterlied" are equally straightforward in use. Furthermore, even in examples of roving harmony which are not song structures of clear tonal identity, the harmonic resource is still quite limited, interest residing rather in the substitution of major for minor and by rapid harmonic movement. These examples illustrate "non modulatory procedures within a tonality", the general designation of all the examples cited in SFH, though manifestly inaccurate in the light of Schoenberg's analyses and comments. Ex.112, provides an excellent illustration of the use of transformed degrees through modal change which is in principle comparable with passages by Brahms. It is to be regretted that Schoenberg never seeks to relate his comments on Wagner's enrichment of harmony by this means to comments elsewhere on Brahms's similar methods.

That Schoenberg's examples were typical neither of the methods of Brahms nor Wagner in their particular contexts would, however, have constituted no challenge to their significance in his view. It was not his intention to give a balanced account of their respective techniques but rather to stress their historical positions by showing complementary "progressive" tendencies. On the one hand, he perceived in Brahms a movement towards the extension of tonality through a fuller realization of its inherent properties, especially a wider exploration of its degrees. On the other, Wagner's examples were seen in terms of a contrary process, that of suspending the identity of tonality by replacing functional with vagrant progressions. Schoenberg never sharpened this distinction by the use of conceptual terminology. However, the methods have recently been discussed by Dahlhaus through the use of the terms 'Stufenreichtum' and 'Alterationsstil' ('Degree-enrichment' and the 'Style of Alteration'), the latter term already familiar, the former apparently newly evolved.³⁷ These methods have, however, obvious relation to Schoenberg's concepts of region and suspended harmony. Given the importance of the analysis of earlier music in the formation of Schoenberg's concepts, particularly in the tonal realm, the distinctiveness of these examples must have been a significant factor in helping to identify 'progressive' tendencies and thus in defining concepts.

In the present context one may see an important stimulus to the concept of regions in the speed and scope of Brahms's tonal digressions within themes. An awareness of the relationship between tonalities

in separate movements or sections would have offered a less distinct prompt to this mode of thought than the realization of the scope possible where 'establishing' conditions are expected to prevail, that is, chiefly in themes. The Brahms examples which he quotes must have played a very significant part in this realization, not least because they arise without the extra-musical stimulus which Schoenberg states as a necessary condition for the evolution of extended harmony. If Schoenberg's examples of Brahms's long-term uses of regions, between and within movements, were of less interest in relation to the concept in this sense, however, they had significance in another sense: that of the picture of the regions as symmetrical relations around a central tonic, which is presented in Schoenberg's Chart of the Regions (SFH 20). Schoenberg's awareness of Brahms's advanced uses of long-term symmetrical relationships, to be outlined subsequently, cannot have been without stimulus on his thought.

Given Schoenberg's need to contrast the methods of Brahms and Wagner, we look in vain for a very thoroughgoing attempt to explore the common ground between them. It is surely not without significance that Schoenberg's attempt to equate their innovations in the initial argument of 'Brahms the Progressive' fails to clarify its point.

Schoenberg's claim for Brahms "comparability with Wagner" in the general extension of relationships within a tonality rests on two examples taken from the first movement of op 51/1-1, a ternary structure of remarkable harmonic and thematic contrast for a principal sonata theme.

(SI 402 - 5) Schoenberg draws particular attention to the central 'b' section of the subject (bars 11-23) pointing to the degree of movement away from the tonic and the sudden return. Brahms, having established a strong pull towards the sd region at the beginning of this passage, restates the primary dominant, G major at bar 19, only to move to an unharmonised F sharp, identified by Schoenberg as the dominant of the mediant of G, that is, B minor. The resolution of this F sharp to G leads directly to the opening material in the tonic, C minor.

The image displays three staves of musical notation, likely from Brahms's First Symphony, first movement. The notation includes treble and bass clefs, key signatures of one flat (F major/C minor), and various musical symbols like notes, rests, and slurs. Below the staves, Roman numerals and Schoenberg's 'sd' (sonata degree) notation are provided for harmonic analysis.

Staff 1: The first staff shows a sequence of chords. Below the staff, the analysis is: sd: I (under the first measure), IV (under the second measure), I (under the third measure), and V II (under the fourth measure).

Staff 2: The second staff continues the sequence. Below the staff, the analysis is: sd: I (under the first measure), IV (under the second measure), I (under the third measure), and II (under the fourth measure).

Staff 3: The third staff shows further harmonic development. Below the staff, the analysis is: sd: I (under the first measure), V (under the second measure), sd: I (under the third measure), V (under the fourth measure), II (under the fifth measure), V (under the sixth measure), I (under the seventh measure), and V (under the eighth measure).

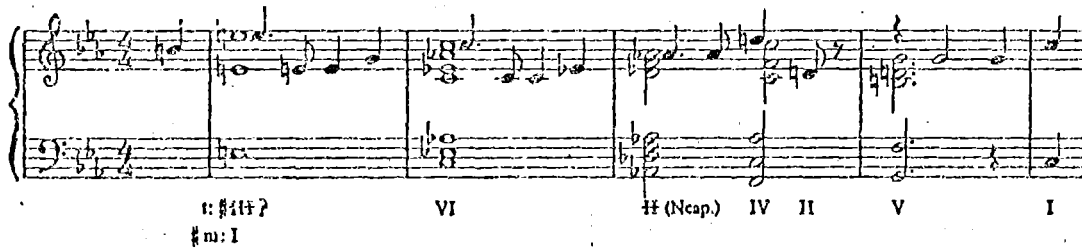
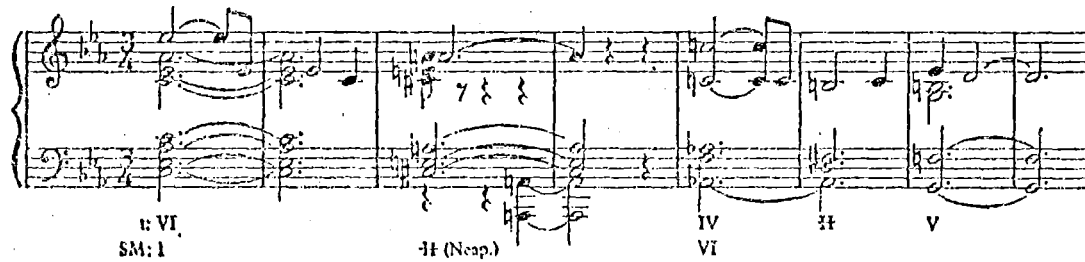
Schoenberg's emphasis on the remoteness of Brahms's modulation "to the dominant of a minor region of B and the sudden unceremonious and precipitate return to the tonic" (402) leads him to draw parallels with examples he regards as comparable, but whose significance is not entirely clear. He cites as examples of "similar procedures" the celebrated descending triads at the opening of the coda of the first movement of Beethoven's Third Symphony and the juxtaposition of triads of B and B flat in Schubert's song "in der Ferne".

553 (Allegro con brio)

Schubert, *In der Ferne*

Mut - ter - haus has - sen - den

He further instances as "similar progressions" two examples by Wagner, namely the "Todestrank" motive and Isolde's order "Befehlen liess dem Eigenholde" from Tristan (Ibid).



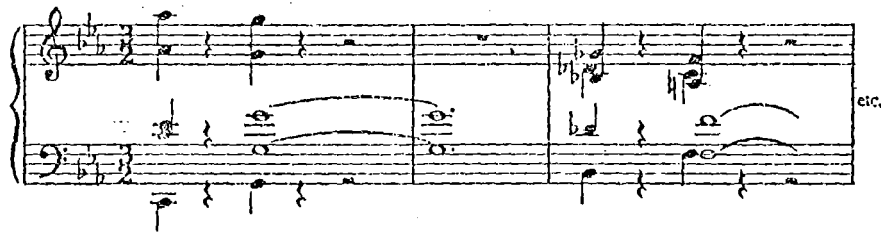
Apart from the general element of surprise, there exists no real basis for the comparison of these examples with the Brahms passage. The point of Schoenberg's emphasis on this passage rests on the speed of the return to the tonic from a distant region, established by lengthy preparation. In contrast, the other examples show either modulation away from the tonic, as in the Beethoven and Schubert passages, or merely the decoration of tonality, as in the Wagner examples. Both the Wagner examples merely colour a basically diatonic progression with passing Neapolitan alteration.

If the Brahms example "competes successfully" with any of these passages, it is rather with those by Schubert and Beethoven, which, if they do not involve any precipitate return, certainly move quickly from the tonic to remote regions. Schubert's complete progression, shown in SFH (88) but not here, involves movement to the region on m, in which B flat is VI, thence to M, before return to the tonic. The chord D flat of the Beethoven example cannot be related to the preceding E flat in an analogous manner, since the goal of the progression is C major, of which it forms no part. This progression can only be explained by reference to longer-term relationships, other connections of these chords having been adumbrated in the development section. Beethoven takes the opening idea through the keys of C minor, C sharp minor, D minor and E minor from bars 178-190, and the progression is intensified to move through C major, C minor, D flat major, E flat major, E flat minor from bars 300-322, providing a model which is reversed and reduced at the point in question to present a juxtaposition of the chords of E flat major, D flat major and C major.

Quite apart from the quality of the relationships he seeks to outline, Schoenberg's interpretation of the Brahms passage is open to challenge. As his analysis in fact admits, the 'modulation' to a minor region on B, and the use of its dominant, F sharp, can as well be seen merely as an extension of the dominant, G with the F sharp as part of an implied secondary dominant, on D. Although, since Brahms carefully avoids harmonising this F sharp, either interpretation is possible, Schoenberg might well have given the alternative equal attention in assessing the effect of the sudden return,

which is surely less extreme if interpreted in these terms. The limitation of Schoenberg's explanation of this passage is a consequence of the lack of adequate criteria for defining 'structural' and 'passing' chords noted in Section One. The concept of regions as demonstrated by Schoenberg is of limited use in showing the hierarchy of relations within such a brief passage.

It is only when Schoenberg discusses his second Brahms example that direct comparison with Wagner is made possible. He compares the close of the 'a' section of the subject under discussion with the 'Traurige Weise' cor anglais solo at the opening of Act 3, sc.1 of Tristan, pointing to their common uses of 'chromatically descending triads'.





However, his statement that the Wagner passage "shows in its modulatory section no more remote modulation" than the Brahms invites challenge. According to Schoenberg's criteria, Brahms's movement from A flat major to F major (SM) is one of Class 2 (A2), whereas Wagner's movement is merely to sm, a region of Class 1, although Brahms subsequently establishes sm for the 'b' section. Yet, considered more broadly, the entire comparison is surely suspect. Whilst the Brahms example indicates the essential movement from the tonic, C minor, towards the region of the 'b' section, sm, the "modulatory section" of the Wagner is considerably longer, moving through chords of E flat, D flat and C. Indeed, it is difficult to speak of "modulatory sections" in the same sense here, since the structures are so different, quite apart from the tonal contexts, the Brahms in C minor, the Wagner in F minor. Whilst the principle of descending chromatic triads is common, therefore, the contexts do not provide a sound basis for comparison; the examples were presumably prompted rather by the association of the two works in the preceding discussion.

In conclusion, therefore, Schoenberg provides little support for his very important claim concerning the lack of a "decisive difference" between Brahms and Wagner in the extension of relationships within a tonality. Such a subject requires, however, an examination of a scope which he does not attempt.

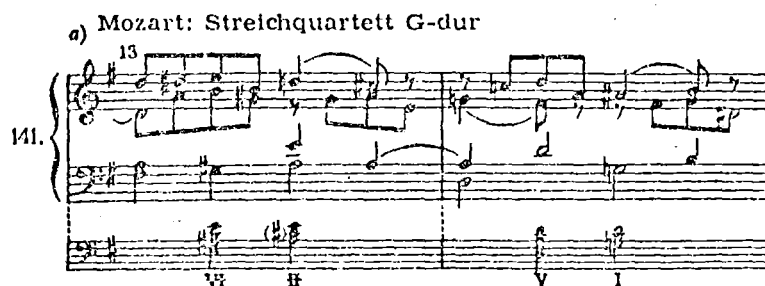
Schoenberg's desire to contrast the methods of Brahms and Wagner and to select his examples accordingly is equally apparent in two areas not covered in 'Brahms the Progressive' though important: namely, the role of sequence within themes and the nature of harmonic relations in development sections and transitions. Of these, the former is of greater interest since it appears in a context in which their methods can reasonably be compared; their approaches to longer-term harmonic factors are so different that comparison lacks real point.

The Sequence was naturally a subject of major interest to Schoenberg because of its fundamental role in the structure and development of themes. Given his marked preoccupation with the avoidance of literal repetition in thematic structure, and his judgement of much music according to this criterion, it is natural that he should have devoted much attention to its use. In these discussions Brahms and Wagner emerge in very sharp contrast. Consistent with his interest in Brahms's use of what he termed developing variation, Schoenberg came to regard Brahms's use of varied sequence as representing the highest level at which the device could be applied. In contrast to the literal sequences or simple imperfect sequences which he illustrates, for example in the dorian region, "composers of Brahms's school avoided not only this kind of sequence but every unchanged repetition, no matter in what region". (SFH 125) Schoenberg points to Wagner's avoidance of such variation, the interest of his literal sequences or semi-sequences residing rather in the harmonic ambiguity

of the models as compared with those of Brahms. He termed Wagner's method model and sequence above a roving harmony. Although Schoenberg never directly compares the uses of sequence by Brahms and Wagner, he provides sufficient examples by each to illustrate his view as to their relationships.

Some of the forementioned examples of extended harmony by Wagner rely heavily on sequence to ensure comprehensibility. Ex. 114, a passage from the Tannhäuser Overture, states a roving segment which is transposed upwards in two stages of a minor third, though the latter is varied. This progression of a roving model through successive minor thirds is most familiar from the Prelude to Tristan, (SFH. 133). The progression is significant in spanning the tritone and thus bringing distant regions into play, although they are checked in the Tannhäuser example by a quick return from the B flat minor of the third phrase to the primary dominant, B major. Although examples of this kind can certainly be multiplied throughout Wagner's output, Schoenberg's examples from Wagner in SFH also reveal the uses of modified sequence, described by Schoenberg as "quasi sequences", though not related to his other descriptions of Wagner's uses of literal sequence. Tristan's "War Morold dir so wert" in Act 1 of Tristan produces progressive variation of the vocal line which considerably affects the harmonic support, or vice versa, as compared with the previous examples (SFH 107), and the 'Lied den Abendstern' from Tannhäuser achieves a similar effect, though with only one repetition. (SFH 105)

Whilst Schoenberg stresses the balance between harmonic ambiguity of the model and the simplicity of its treatment in the Wagner examples, his interest in Brahms rests on the extent of his variation methods. Schoenberg outlines the possible variations of a model as proceeding from, at the simplest, "slight changes in part leading, passing notes, chromaticism, suspensions, etc.," to "substitutes and transformations, and especially to interpolated chords" (SFH 134). His most advanced examples show how the elements of "repetition, harmonic progress and slow development are achieved without strict sequential treatment of the model". (SFH 136) Of the three most advanced examples, one by Mozart and two by Brahms, it is the latter which are of greatest interest. The Mozart example, though subtly changing the part-writing and outline of the upper voice, retains the same simple model of V-I.



In the Brahms examples, the more complex models are subject to very subtle harmonic change; in the first case, the modulatory tendency from I-V of the model is given the response II-V:

b) Brahms: Violinsonate A-dur

The musical score for Brahms' Violin Sonata in A major, measures 1-5 and 6-10. The score is written for piano accompaniment. The first system (measures 1-5) shows a bass line labeled 'Fundamente' with notes corresponding to the chords I, II, V, I, and VI. The second system (measures 6-10) shows a bass line with notes corresponding to the chords I, II, III, IV, V, and VI. The chords are labeled with Roman numerals: I, II, V, I, VI, I, II, III, IV, V, VI, IV.

In the second case the model moves from I-IV and is answered by III-IV proceeding minor to major, in contrast to the major to minor progression of the first example:

c) Brahms: Klavierquintett

The musical score for Brahms' Klavierquintett, measures 122-125. The score is written for piano accompaniment. The first system (measures 122-125) shows a bass line labeled 'SEQUENZ' with notes corresponding to the chords I, II, V, and I. The second system (measures 126-129) shows a bass line with notes corresponding to the chords I, II, V, and I. The chords are labeled with Roman numerals: I, II, V, I, I, II, V, I, I, II, V, I.

Whilst these examples are certainly striking, they represent extreme instances of variation in Brahms's uses of sequence. Most Brahms sequences preserve the model with greater clarity; indeed, Schoenberg's implication that Brahms's themes shun literal sequence is patently untrue. The opening of op.15 employs an exact sequence in all essentials and a parallel is provided by the opening of op.11, written in the same period. Examples can, moreover, be found throughout Brahms's maturity, as, for example in the first subjects of the Piano Quintet Op 34 and Fourth Symphony op 98. Although it is certainly true that, consistent with the degree of constant variation in his music, little repetition is exact in Brahms, the effect of sequence always remains very strong in his music. Clearly, everything depends on a definition of 'significant variation' and the value of the distinction which Schoenberg draws could only be tested by the comparison of many more examples than he cites, drawn from analogous structural contexts.

'Brahms the Progressive' contains no reference to the broader question of the role of harmony in the treatment, rather than the statement, of themes; that is, with Transitions as well as formal Development sections. References to Brahms and Wagner only occur in the course of a general outline of the subjects in 'Progressions for Various Compositional Purposes' in SFH. Although Schoenberg draws no direct parallel between their methods in this context, the basic point with which he concludes his section on Developments, - namely, that there is no necessary co-relation between richness of harmony in the short term and richness of modulatory scope in

developments (SFH 145) - may be seen as supporting his distinction between Brahms and Wagner. Thus, he points to the limited modulatory scope of the Tristan Prelude, relative to the roving quality of the harmony: "Analysis ... proves that, on the basis of the interchangeability of t and T, bM and bSM (of T) comprise the furthest compass of the modulation - if one recognizes that those sections which seem to go farther are only roving on the basis of the multiple meaning of a vagrant harmony" (SFH 164). While Schoenberg's basic point concerning the influence of roving harmony and the importance of the bSM region, F major, is clear, however, he surely overstates the extent to which any regions are established within it in the sense applicable to his other examples. bM, C major, is never fully established, while bSM, F major, is even less in evidence. In contrast, the development section of the first movement of Brahms's Third Symphony op 90 shows a simpler harmonic vocabulary employed for much more adventurous tonal purposes. (SFH 162) Thus, while Wagner employs, in Schoenberg's view, the Indirect but Close relationships of Class2(B), Brahms employs Indirect (b sm) and later Indirect and remote relationships (s/T and sub T) of Classes 3 and 5 respectively. The nature of the roving passages is of interest in comparison with Wagner. Whereas the Tristan Prelude depends on sequences of a minor third and major second, Brahms's harmony roves in a circle of fifths (92-97). Although the use of a chromatic bass line is common to both, Brahms's connection is the more adventurous; thus he moves from ST and sub T from 98-99, whereas none of the Tristan passages move as far, e.g. 17-20 and 32-35, F or C majors

to D minor, if at all, e.g. 53-58, which returns to its starting point harmonically.

Corresponding passages from Mendelssohn's Third Symphony and Schumann's Piano Quintet further serve to stress the scope of the Brahms passage, a scope which neither approaches despite the comparable richness of their harmonic vocabularies (SFH 158). Brahms's development section emerges as relating rather to earlier examples, from Haydn, Symphony No 94; Mozart, Symphony No. 40; Beethoven, Symphony No. 3; Schubert, String Quartet op 29 (SFH 148). It must be stressed, however, that of the latter examples only that by Beethoven compares directly with Brahms in the establishment, rather than the passing use, of distant regions, here SM M of Class 5 (E minor). Although Beethoven does not retain this region for long, its lengthy preparation gives it a status comparable with Brahms's approach to and establishment of sub t (E flat minor). While these developments differ in other regards, notably in the rapidity with which Beethoven juxtaposes distant regions, a point not illustrated to the best advantage by Schoenberg, as against the greater speed and scope of Brahms's initial modulation (A major to D flat minor in 7 bars), his view as to their shared pre-eminence in the establishment of distant regions in development sections emerges clearly and can be supported by many other examples which he does not cite.

Schoenberg's view of Brahms's significance in the handling of harmonic relations emerges even more clearly in his discussion of Transitions. Schoenberg draws a distinction between two types of Transition: "They are either new themes beginning at the end of the main theme or modulatory transformations in lieu of an ending," (SFH 139), the former claiming virtually all his attention. Of his four examples, three are from Brahms and chosen to illustrate the richness of his harmonic elaboration prior to the essential modulation. His first example, from Beethoven, illustrates a much simpler model. No examples are cited from Wagner, passages of comparable function being hard to find. In Schoenberg's first Brahms example, from op 90, "the final turn occurs only after a sequence of an extraordinarily long model" (Ibid) which moves from F major to D flat major, prior to an enharmonic change to C sharp major and thence to A major. Schoenberg makes no comment on the reason for this digression, which is perhaps influenced by the element of D flat major in the first subject, Schoenberg's example from op 34 involves a model which moves through sm to D flat minor notated as C sharp minor. The third example, from the String Quartet op 51/2 moves through v, dor, m and even M Np before establishing M.

Schoenberg's discussion of Brahms's handling of regions is completed through reference to his treatment of long-term relationships. Whilst he here makes no references to Wagner, seeing Brahms in relation to a broader tradition, his comments help significantly to define his overall view of Brahms's methods.

Schoenberg discusses long-term relationships in his chapter on Indirect but Close Relationships in SFH(57) and, although only incidentally, in the chapters on Large Forms in FMC. The latter source is of lesser interest since it is concerned to show the role of the most conventional relationships of the Classical Period. It is therefore to be regretted that the more progressive relationships of this and the following period stressed in SFH are discussed so briefly. Schoenberg merely provides a random selection of examples to outline the scope of relationships regularly employed in the 19thC, offering no indication of their relative significances in the works of the composers cited, nor of the lines of connection between composers. Thus, while Schoenberg is particularly concerned to illustrate the importance of mediant relationships in the 19th C, he confines himself to the discussion of relations to major regions only and does not discuss the ways in which they are employed. Accordingly, Brahms's employment of mediant relationships receives little definition.

As presented, Schoenberg's examples stress Brahms's relationship to Beethoven, both in their uses of the mediant and flat submediant relationship and of unusual semitonal relationships. (SFH 57) Examples of the other mediant relationships, bM and SM are drawn from Schubert

and Schumann, (Ibid), though they are not compared with examples by other composers. Of the two areas in which Brahms and Beethoven reveal similar emphases, it is their uses of mediant relationships which claim greatest interest in the present context. Although Schoenberg points out interesting parallels between Brahms's and Beethoven's uses of keys a semitone removed from those expected in particular circumstances, they are cited as exceptions, forming part of no broader discussion. Since, however, he does not suggest that they have long-term structural significance as unifying pitches in a complete work, the subject can be pursued subsequently in the context of methods of unification within a work, discussed in Section Four.

Schoenberg illustrates Brahms's use of the mediant relationship through reference to the principal subjects of the first movement of op.90, which moves from F major to A major, drawing parallels with Beethoven's sonata op 53 - 1 (C major to E major) and with the relationship between the first and third movements of the Trio op 97 (B flat major to D major). As regards the flat submediant relationship, Schoenberg reveals the exact parallel between the relationship of the first and second movements of Brahms's Violin Sonata in A major, op 100 and the Violin Sonata in the same key by Beethoven, both moving from F major to A major. Beethoven's Sonata op 7 - 1 is cited to show the b SM relationship between themes (C-major A flat major).

Conversely, Brahms's Second Symphony op 73 shows the b SM relationship between the second and third movements (B major - G major).

The remaining mediant relationships, bM and SM are illustrated through reference to examples by Schubert and Schumann respectively, namely: the flat mediant relationship between the first and second subjects of Schubert's Quintet op 163 - 1 (C major - E flat major) and the submediant relationship between the first and second movements of Schumann's Third Symphony - 11 (E flat major.- C major) (Ibid).

The importance of Schoenberg's stress on Brahms's relationship to Beethoven can be confirmed if further parallels are drawn between them. Thus, the relationship to M within a movement noted in Brahms's op. 90 is found in association with the same tonality, F major, in his String Quintet op 88, written shortly before. To the relationship to bSM noted between movements in op 100 can be added several parallels; op 88 moves from F major to C sharp minor between the first and second movements, the Violin Sonata op 78 from G major to E flat major between first and third movements, the Serenade op 16 from D major to B flat major between first and third movements. Moreover, Brahms greatly extended the use of these relationships between inner movements. The most notable example is the First Symphony op 68, whose inner movements stand in the mediant relationship E major and A flat major, a consequence of their mediant relationship to the tonic, C minor. The fourth and fifth movements of the seven-movement Requiem op 45 are in E flat major and G major and this relationship appears in several songs of the much longer Magelone cycle, op 33 Nos 4-6 (in D flat, F and A majors), and 13-14 (E major to G major), some stressing the relationships internally.

To Beethoven's example of this relationship between themes in op 7-1 can be added that between the major sections of the slow movement of Brahms's Second Piano Concerto op 83 (B flat major to F sharp major), a direct parallel with Beethoven's Quartet op 130-1.

Whilst Brahms's relation to Beethoven was certainly very important in these examples, however, it should be stressed that he was as much open to the stimulus of the other composers mentioned. Hence, the relationship with the flat mediant cited in Schubert's Quintet op 163 (C to E flat majors) finds parallels in Brahms, whether within movements, as in the major sections of the Double Concerto op 102 - 11 (D to F majors), of the fourth movement of op 16 (A to C majors), or between movements, as in the Violin Concerto op 77 (D to F majors). Schoenberg's example of the submediant relationships in Schumann's Third Symphony finds parallels both *between* movements, in Brahms's op 73 1 - 11 (D to B majors) and within movements, in op 25 - 111 (E flat to C majors).

Since, however, these composers were also aware of Beethoven's example, it is impossible to be categorical as to the primacy of stimulus in such basic matters. Beethoven provides a precedent for the Schubert example in op 130, 1-111, B flat to D flat majors, and for the Schumann example in the same work, movements 1 - IV, (B flat - G majors). It is only possible to define these general relationships more closely through reference to the modulatory procedures employed and their relationship to the nature of the themes, a subject with which Schoenberg does not deal.

Had Schoenberg included reference to Brahms's use of the mediant relationship in the minor tonality, he would certainly have tended to confirm the influence of Beethoven in relation to the other composers mentioned. Brahms drew regularly on the submediant relation in the minor tonality, which was increasingly important in later Beethoven. It is found, for example, between movements in Brahms's op 25/1 - 1 - 111, G minor to E flat major, and op 51/1, 1 to 111, C minor to A flat major, and within movements in op 34 - 1 F minor to D flat minor, (C sharp). An exact precedent can be found for the latter example in Beethoven's Quartet op 95, a work whose mood is also closely related. In this case, however, Brahms extends the relationship to employ the minor mode rather than the major, a relationship of Class 3 rather than Class 2. Other instances of the major tonality appear in Beethoven's Ninth Symphony, op. 125 the first and third movements being in D minor and B flat major and the String Quartet op. 132, whose first and second movements are in A minor and F major respectively.

Brahms's use of the minor mediant within movements, apparent in the first movements of op 51/1 and op 68 which both proceed from C minor to E flat major/minor, finds a precedent in Beethoven's Piano Sonata op 57, F minor to A flat major/minor. The tonal relationships mirror similarities of mood and the parallels between the assertive figurations in the closing groups of the Symphony and Sonata are particularly striking (bars 157-189 and 51-65 respectively).

However, the most striking example of Brahms's relationship to Beethoven is to be found in his use of the major tonality on the major mediant of the minor key, specifically, the progressions from C minor to E major. This appears in Beethoven's Third Piano Concerto op 37 between the first and second movements and between the first and second movements of Brahms's op 68 and second and third movements of his Piano Quartet op 60. While the effect of this contrast is tempered in the Brahms examples by the employment of a major closing paragraph, thus recalling the C major - E major relationships fore-mentioned, whereas Beethoven only omits the third from his final chord, hardly undermining the minor mode thereby, the overall impression of the relationship remains in the Brahms examples. In view of Brahms's knowledge of Beethoven's methods, it seems possible that this relationship was not without effect upon Brahms when he came to make the very unusual modification of his original tonal scheme for the quartet movements - C sharp minor - E major - to C minor - E major, a pattern which he retained in the Symphony, which appeared later. The relationship belongs to Class 4, Remote and Indirect, in Schoenberg's classification.

Although Schoenberg's discussion of Brahms's role in the extension of mediant relationships in the 19th Century is limited, there is no question that he fully grasped Brahms's significance in this context. As will be shown, the planning of his earliest surviving quartet represents a natural extension of Brahms's methods, methods for which no parallel can be found, either among Brahms's predecessors and contemporaries, or his successors, the contemporaries of Schoenberg.

The extent of Schoenberg's emphasis on the 'progressiveness' of Brahms's methods, whether by statement or by implication, was unique. It is only in the area which he largely ignores as a consequence of his particular bias, namely the character of Brahms's immediate harmony, its vocabulary and treatment, that some general comparison can be drawn with the views of other Brahms critics in terms other than those considered in Section One. Despite his frequent references to the 'richness' of Brahms's harmony, Schoenberg only rarely clarifies its nature other than in relation to regions, for example in connection with the opening of op 51/1. Here he states that "to base a theme on such a rich harmony seemed a daring enterprise to the ears of the time", familiar rather with "I - V or I-IV-V harmony, intermixed occasionally with a VI or III and sometimes a Neapolitan triad" (SI 402). The enrichment here occurs through strong linear movement, pulling the tonic triad towards the sixth degree:



However, this passage is of limited interest in comparison with the other passages which Schoenberg lists, but which he does not analyse: namely, the lengthy pedals in the introduction to the first movement of op 68, the development section in the first movement of the Violin Sonata op 108, and the pedal fugue 'Die Gerechten Seelen' from the Requiem. Whilst Brahms's resource in the writing of pedals is remarkable, this technique represents a special case of enrichment and possessed little interest for Schoenberg "for the standpoint of structural functions" (SFH 138). An area of greater interest is Brahms's connection of simple chords, the most immediate aspect of the principle of 'Stufenreichtum'. It is to be regretted that Schoenberg makes hardly any reference to this area at all, although his interest can be surmised from occasional comments, for example on Brahms's originality in the handling of the six-four chord (TH 382).

Schoenberg's view would probably have accorded to an extent with those of others, notably Hermann Wetzel, a critic significant for regarding Brahms as a progressive as late as 1912. However, Wetzel goes even further than Schoenberg in his emphasis, claiming that "the way which Wagner and Liszt indicate leads only to a dead end"³⁸ In contrast, he sees Brahms as using the traditional bases of music, essentially the simple chords of the diatonic system, in vitally new ways. Although he does not ignore Brahms's archaisms, he regards the enrichments as of an original nature,

significantly ignoring the modal interpretation offered by Riemann and Schenker when using two of their examples, namely the opening of the slow movement of op 98 and the chorus 'Vergangen ist mir Glück und Heil' op 62/7 respectively. However, although he argued that Brahms alone provides a correct signpost to "unimagined beauties" which will fulfil the "immovable old goals" and reveal "originality" rather than "licence", he fails to clarify how Brahms methods can achieve these ends and how they relate to the work of composers who were similarly preoccupied at the time he was writing. His is still a conservative view, since he draws from his examples no principles applicable to a changing language. Only Schenker shared Schoenberg's capacity to respond conceptually to the tonal resources to which Brahms had made such a contribution but, as shown, his concepts were aimed at revealing the workings of a tonality conceived in a far more restricted, traditional, sense than that of Schoenberg. His mature demonstrations of the richness of Brahms's tonal methods in terms of hierarchy contain no seeds for the radical disturbance of this system. In contrast, Schoenberg's response to the symmetrical relationships in Brahms was a significant stimulus to a radically changed concept of tonality.

PART TWO

SECTION THREE

SCHOENBERG'S WRITINGS ON THEMATIC PROCESS AND
STRUCTURE

1.

GENERAL CONCEPTS

No sources comparable in scope with TH serve to illuminate the origins of Schoenberg's concepts of thematic process and phrase structure. However, some later sources provide significant pointers towards the mature ideas, most notably the Gedanke Manuscript (1934)¹ and the article 'Brahms the Progressive' (1933). The definitions to be found in MBC, SFH, FMC, and PEC again provide the framework for discussion.

Schoenberg's writings reveal two distinct attitudes towards the term 'theme'. On the one hand he uses it with reference to periodic structure, most frequently built of balancing phrases and units, though capable of variation through extension and contraction. On the other, the term is used rather with reference to organic factors: a thematic entity is seen as resulting not from pre-determined norms of phrase relationship, but from the inherent tendencies of its basic motives. In the absence of any marked distinction in Schoenberg's terminology, these two concepts may be distinguished by the terms 'Thematic Structure' and 'Thematic Process'; the former is of general acceptance and is employed by Schoenberg, who also uses the term 'Thematic Construction'; the latter, whilst not employed by Schoenberg, has become increasingly prominent since the appearance of Reti's study of 1961² and is adopted by Wörner in his standard coverage of this aspect of 19th Century music.³

Of these two concepts, it is the latter which inspires Schoenberg's most penetrating observations. The considerable attention which he devotes to phrase structure in MBC and FMC was determined rather by the basic needs of the students for whom he was writing. Even here, however, he stresses irregularities, and a comment elsewhere seems to suggest doubts as to whether the eight-bar structure which provides his analytical norm constitutes "an aesthetic principle" at all. (SI 436). Although Schoenberg made no hard distinction between structure and process as such, his acceptance of it seems reflected in the distinction he draws between melody and theme in FMC. Hence he states that "A melody, classic or contemporary, tends toward regularity, simple repetitions and even symmetry. Hence, it generally reveals distinct phrasing". In contrast "A theme is not at all independent and self-determined. On the contrary, it is strictly bound to consequences which have to be drawn, and without which it may appear insignificant" (FMC 103) "The formulation of a theme assumes that there will follow 'adventures', 'predicaments', which ask for solution, for elaboration, for development, for contrast". (102).

Schoenberg considers the building of themes in two stages, discussion of entire themes being preceded by the identification of their constituent elements, the phrase and the motive. Although the motive represents the smallest and most basic element in Schoenberg's view, its discussion is preceded by reference to the phrase. This order reflects the distinction between structure

and process, the phrase representing the "smallest structural unit ... approximating to what one could sing in a single breath", its ending suggesting "a form of punctuation such as a comma" (3), from which entire themes are built, Schoenberg's stress on the freedom of the phrase 'length' is notable. Hence, "the phrase is seldom an exact multiple of the measure length; it usually varies by a beat or more ... There is no intrinsic reason for a phrase to be restricted to an even number" (4). However, his examples do not serve to create irregular periodic structures in most cases, but lend themselves to direct combination with similar units to produce regular antecedent sections of periods and sentences. This is because he regards his examples as discrete units, actually failing to consider them in the structural context which he earlier stresses (2). This is particularly clear in his ignoring of the role of rests, which serve to complete regular bars in his examples.

Schoenberg devotes far greater attention to the "number of integrated musical events", the "motivic characteristics" (3), which lie within the phrase and serve to determine its subsequent development. He identifies the motive by two factors: its character and function. The clearest definition of the motive is contained in MBC as "a unit which contains one or more features of interval and rhythm" (MBC 15). Although Schoenberg states in FMC that these intervals and rhythms are "combined to produce a memorable shape or contour which usually implies an inherent harmony" (FMC 8), he lays the greatest stress on

rhythmic simplicity. Hence "Rhythmic features may be very simple, even for the main theme of a sonata" (as in Beethoven's Sonata op. 14/1-1).

"A symphony can be built on scarcely more complex rhythmic features" (as are the main themes of the first and third movements of Beethoven's Fifth Symphony). Moreover, "a motive need not contain a great many interval features. The main theme of Brahms's Fourth Symphony ..., though also containing sixths and octaves, is constructed on a succession of thirds". (FMC 9)

Given such characteristics, a motive can only be so called if it functions as such. Although Schoenberg states that "the motive generally appears in a characteristic and impressive manner at the beginning of a piece", (FMC 8) its significance resides not in this function, but in its subsequent role. Thus, the role of the motive is to produce "unity, relationship, coherence, logic, comprehensibility and fluency"; it is both "the smallest common multiple" and "the greatest common factor" (Ibid), whether at the level of the theme or, as will be shown, beyond. In view of his concern for motivic unity within a theme, Schoenberg's interest in the nature of repetition - of the need to avoid monotony through unvaried restatement and incomprehensibility through excessive variation - is to be anticipated. Schoenberg identifies three types of repetition, exact, modified, and developed. His definition of exact repetition is of immediate interest in including not only literal repetition and transpositions to different degrees, but "inversions, retrogrades, diminutions and augmentations which class as exact repetitions, "if they preserve strictly the features

and note relations" (FMC 9). The distinction between modified and developed repetition is, however, less clear, since the latter type is not given a separate heading or elaboration at this point. It would seem that modified repetition merely exists in contrast to exact repetition in producing "new material (motive forms) for subsequent use" (Ibid), of which two kinds exist: local variants and developing variations. The former involve only "changes of subordinate meaning, which have no special consequences, ... only the local effect of an embellishment."⁸ The latter are of much greater significance to Schoenberg in view of their longer-term consequences. Hence "in the succession of motive-forms produced through the variation of a basic motive, there is something which can be compared to development, to growth" (Ibid). The distinction between these two methods emerges clearly in the course of Schoenberg's copious illustrations of motivic transformation and of the connection of motive-forms into phrases and, subsequently, into entire themes. The term developing variation has, however, broader connotations, and, since it never receives a thorough explanation requires further elaboration at this point.

In general terms developing variation indicates a distinction between the role of the motive in the "melodic-harmonic style of the Classic and Romantic periods" and its role in the contrapuntal style of the preceding periods. This distinction is touched upon several times and expressed most clearly in PEC. "One can consider imitation as the first step in connecting voices with each other by

means other than those permitted by harmony. It is probably the first step toward working with motives too. However, whatever imitation may have meant to those composers who introduced this procedure into their music, it differs essentially from the employment of the motive in homophonic music. Repetition and motivic variations, leading to the creation of new motive forms which admit of connection, produce the material of homophonic music. For this reason I call this style the style of developing variation. In contrapuntal composition, on the other hand, motivic variation appears but rarely, and then its purpose is never that of producing new motivic forms. The types of motivic variation which are admissible here, such as the comes in fugue, and augmentation, diminution, and inversion, do not aim at development (PEC 155) but only at producing variety of sound by the changing of mutual relationships." He states further, elsewhere, "In Bach's time contrapuntal art, i.e. the art of producing every audible figure from a single one, had reached such a pitch that in it the transition to a different kind of art is already beginning. Henceforth, the art would be to subject these figures themselves to variation, it no longer being enough to juxtapose them, but rather to show how one gives rise to the other: simultaneously there began a different disposition of musical space: composers began to write a principal part, something there had never been before." (SI 171)

In addition to the short-term role in the building of themes, Schoenberg also seems to indicate that this method has longer-term significance for him. "Music of the homophonic-melodic style of composition ... produces its material by, as I call it, developing variation. This means that variation of the features of

a basic unit produces all the thematic formulations which provide for fluency, contrasts, variety, logic and unity on the one hand, and character, mood, expression, and every needed differentiation, on the other - thus elaborating the idea of the piece". (SI 397) Developing variation can therefore be seen as the means by which the Grundgestalt is realized in an entire composition, a subject which will be dealt with in Section Four in connection with formal relationships. Despite its central importance in his thought, it is interesting to note the late appearance of the term developing variation. The first dated reference seems to be in 1946 and the term is conspicuously absent from MBC of 1942. Prior to this, Schoenberg spoke in more general terms of the connection and development of motives and motive-forms.

In the evolution of developed rather than embellished motive-forms, Schoenberg allows variation of "rhythm, interval, harmony and contour", (FMC 9) and the combination of these, dependent upon compositional purposes, with the proviso that "such changes must not produce a motive-form too foreign to the basic motive". (Ibid) Schoenberg demonstrates the creation of rhythmic and intervallic variants through six methods in each case. Rhythm may be changed by modification of length, by repetition of individual notes or entire rhythms, by shifting of accent, by addition of upbeats and, occasionally, by change of metre.

Intervals may be varied by "changing the original order or direction of the notes, by addition or omission of intervals, by filling up intervals with ancillary notes, by reduction through omission or condensation, by repetition of features (or) by shifting features

to other beats. (FMC 10) The precise relevance of changes of harmony and melody is not, however, as clear. Harmony may be changed by "the use of inversions, by additions at the end, by insertions in the middle and by substitution of a different chord. Melody is adapted to these changes by transposition, by addition of passing harmonies and by the 'semi-contrapuntal' treatment of the accompaniment". (Ibid). Harmony does not affect the variation of the motive as such, while the only specifically 'melodic' category is transposition. Despite his concern for coherence, however, Schoenberg's motive forms achieve a remarkable degree of independence from their models, coherent only through the process of developing variation and indicating the immense scope for variety offered by this concept.

(APPENDIX EXAMPLE 5)

Schoenberg's emphasis on motivic unity led him to draw a distinction between two types of thematic structure, termed by him period, and sentence, which further reflects the distinction noted between periodic and organic considerations. This distinction, greatly stressed in FMC, is first apparent in MBC in 1942. Of these two types, the period is considered by Schoenberg as the less unified, including in his view a smaller percentage of 'classical themes' and an even smaller percentage of themes by 'romantic composers'.

"The period differs from the sentence in the postponement of the repetition. The first phrase is not repeated immediately, but united with more remote, (contrasting) motive-forms, to constitute the first half of the period, the antecedent. After

this contrast repetition can no longer be postponed without endangering comprehensibility. Thus the second half, the consequent is constructed as a kind of repetition of the antecedent..." (FMC 25) The antecedent ends, in most examples, on V, although a conclusion on I is possible. The consequent usually ends on I, IV or III, dependent, as Schoenberg explains elsewhere, upon its role in a complete section. The only necessary variation between antecedent and consequent is in the final cadence, which "even if it leads to the same degree, will have to be different ..." "Generally one or two measures of the beginning will be retained, sometimes with more or less variation ..." (Ibid) The only scope for contrast in this form exists in the continuation of the antecedent, in bars 3 and 4. Schoenberg outlines several methods of continuation. The first involves his concept of the tendency of the smallest notes, in which "...the smallest notes in any segment of a piece, even in a motive or motive-form, have an influence on the continuation which can be compared to the momentum of acceleration in a falling body: the longer the movement lasts, the faster it becomes" (FMC 27). By the same token, an equally coherent continuation can be achieved through a "decrease of smaller notes, in which case the motive-form appears to be a reduction" (Ibid). In both of these methods, however, the opportunities for variation are greatly limited and many of his examples merely confirm the relationship of antecedent and consequent. In cases where "the coherence between the basic motive-forms and the more remote derivatives in m. 3-4 is not quite obvious, a connective may bridge the gap..." A connective may be an entire motive-form or simply an upbeat rhythm, with no intervallic

relationship. (FMC 28).

Variation of the consequent is primarily associated in Schoenberg's examples with the final cadence, the melody adopting a cadence contour which usually contrasts with what precedes it. "The melody parallels the changes in harmony, obeying the tendency of the smallest notes (like an *accelerando*) or, on the contrary, contradicting the tendency by employing longer notes (like a *ritardando*)" (FMC 29), though the former is more common. Significant in cadence contour is the reduction of "characteristic features (which demand continuation) to uncharacteristic ones" (FMC 30). This process, frequently stressed by Schoenberg in different contexts, is termed by him the liquidation of motival obligations, which provides "effective delimitation of the structure". (Ibid) This important concept is already clearly present in the Gedanke Manuscript, where Schoenberg refers to the liquidation of the "obligations of the former Gestalten";⁴ however, since the Gestalt is generally considered a larger entity than a motive, one can see the principle as being applied with greater intensity in his later thought. Viewed overall, Schoenberg regards the most important element in preserving a relationship between antecedent and consequent to be rhythm, which "allows extensive changes in the melodic contour", (Ibid) confirmed in his examples. A less radical method of variation is through changes in harmonic detail, whether merely variations in chord position, or, more significantly, in progression.

Schoenberg regards the sentence form as a higher form of construction because of its greater capacity for development. "It not only makes a statement of an idea, but at once starts a kind of development. Since development is the driving force of musical construction, to begin it at once indicates forethought". (FMC 58). In comparison with the period "it is used much in leading themes of sonatas, symphonies, etc., {although} it is applicable also to smaller forms" (Ibid). The structure in which contrast is immediately introduced in bars 3-4 represents a lower form of organization since it leads to the need for a restatement of the original in the interests of coherence; this inevitably inhibits its continual growth. By comparison, a simple or slightly varied repetition lays the basis for continuous growth from that point. Schoenberg's earlier statement that "an immediate repetition is the simplest solution" (21) to thematic organization seems to contradict the above view of sentence structure as requiring forethought. Of the different methods of variation of the continuation in bars 3 and 4 which Schoenberg outlines, the most important is that described as 'the dominant form', which refers to the relationship of the second to the first phrase, analogous to that of dux and comes in fugue. The transposition may present the model exactly or change details of its melodic contour while retaining its rhythm. In contrast, the consequent subjects the material of the antecedent to far-reaching changes. "The technique to be applied in the continuation is a kind of development, comparable in some respects to the condensing technique of liquidation. Development implies not only growth, augmentation, extension and expansion, but also reduction,

condensation and intensification" (58). As shown, the process of liquidation removes characteristic features and the consequent may accordingly reveal progressive transformation of the motives.

It is to be noted that Schoenberg does not systematically illustrate the progressive evolution of fresh motive-forms in the consequent; his discussion of 'the connection of motive-forms', (16) is actually concerned with variation of the motive as a retained whole, or with transposition or juxtaposition, rather than progressive development. Although Schoenberg's examples illustrate a wide range of irregularities of length and internal relationship in the consequent he rarely relates them to any conceptual notions of development analogous to the concepts of period and sentence. In the absence of a theoretical model for the application of developing variation in the consequent of a sentence, or higher forms, the subject must be considered subsequently, in direct relation to his few examples.

Schoenberg's ideas can be placed in broader perspective through reference to those of other theorists. Whilst his distinction between the structures of the period and sentence and his stress on developing variation distinguish his views in this field, they none the less stand in clear succession to certain 19th Century writings. The concept of the motive, which arose in the 18th Century, received increasing emphasis in the 19th Century, partly as a consequence of the analysis of Beethoven's music, and is greatly stressed in the most thoroughgoing theory of musical form before Riemann, that of Marx, which appeared from 1837-47. Indeed, there is an obvious relationship between the views of Schoenberg and Marx both as regards the nature of the motive and, especially, its use. Marx similarly states that the motive can be of the simplest nature, drawing on one of Schoenberg's favourite examples for illustration, the opening of Beethoven's Fifth Symphony (See SI 161 and FMC 11). "Compositions of the highest quality have arisen from the most apparently limited motives ... but it is the use which creates the work of art and on which its value depends".⁶ Though only briefly illustrated, Marx's systematic treatment of the variation of a motive through repetition, transposition, inversion, augmentation and diminution, as well as other methods introduced subsequently, anticipates Schoenberg. It is not

insignificant that Schoenberg mentioned Marx's book in the list of theoretical writings with which he was acquainted in his letter to Leichentritt of December 3rd 1938. (Letters 207).

However, this list omits any reference to Riemann, whose concept of the motive was the most highly developed at the time of Schoenberg's early work. Schoenberg's theory shows little of Riemann's concern for the dynamic properties and quality of energy of the motive,⁷ rather developing Marx's idea through a much more rigorous examination of a wider repertory of works of greater motivic interest. It is to be regretted that, despite his great emphasis on the concept of 'durchbrochene-Arbeit',⁸ Riemann gives little attention to Brahms's thematic work in general. Despite the prominence of this feature in Brahms, Schoenberg was alone in revealing its scope and he has been the primary spur to the great emphasis on this feature in the discussion of Brahms's work since the Second War. In this context it is interesting to note Nelson's recollection of Schoenberg's comment concerning the term 'thematische Arbeit'. "Schoenberg once told me that in his opinion a better term to designate the development of theme motives would be 'motivische-Arbeit', for by using it the name 'thematische-Arbeit' could be reserved for the manipulation of complete themes, such as occurs in the overture to Wagner's Die Meistersinger."⁹ Schoenberg elsewhere clarifies 'manipulation' as meaning "combination of superimposed themes"; and the reference obviously applied to the beginning of the recapitulation.

Despite Schoenberg's obvious interest in the disturbance of the practice form of eight bars by extension, elision and so forth, he obviously had no time for Riemann's theories. One short draft, written in response to an article on Riemann's theory of metre and accent, is titled 'Source Poisoner Riemann',¹⁰ a view reiterated in the short article 'Phrasing' (1931), which contrasts "Riemann's kind of nonsense" with Schenker's critical work on phrasing, insisting rather that "phrasing must be shaped so as to make the motivic structure clear". (SI 347)

If Schoenberg stands in a direct historical succession as regards his attitudes to pitch relationships, he shows a striking lack of interest in rhythmical relationships. The important Aristoxenian theory of rhythm,¹¹ on which most rhythmic analysis was based in the late 19th Century, arises only incidentally in connection with Brahms's allegiance to poetical metre in the course of 'Brahms the Progressive', (SI 418-422) and, though passing references are made to rhythmical matters, he clearly had no conceptual interest in the subject; all his interest centred on the phrase structure of a single line. These omissions are particularly significant in helping to characterize Schoenberg's attitude towards Brahms, since rhythmic complexity and ambiguity are the areas most strongly emphasized by analysts of Brahms contemporary with and preceding him. Thus, Guido Adler, writing a centenary essay less celebrated than that of Schoenberg, states "With rhythm, in short, Brahms allowed himself greater liberties than with other style - elements", stressing, in addition to the irregularities of phrasing which interested Schoenberg, "simultaneous combinations of divergent

metres in different voices; {mixtures of} binary and ternary rhythms (6/8 and 3/4 for example), hemioīae, indeed, {the} use of two different varieties side by side or one above the other ..." ¹². That Schoenberg would have acknowledged these and other points which relate to his interest in phrasing seems clear from the comment which appears in 'Criteria for the Evaluation of Music' ...: "When Brahms demanded that one hand of the pianist played twos or fours while the other played threes, people disliked this and said it made them seasick. But this was probably the start of the polyrhythmic structure of many contemporary scores". (SI 131). However, he had insufficient interest to pursue the point further and makes no reference to it when arguing the case for Brahms's 'progressiveness' in the Brahms article. Adler's points are repeated by many other writers and more original observations made, for example by Riemann; ¹³ in general terms it can be suggested that commentators of Brahms's generation tended to see the primary stimulus of cross-rhythms and related features as lying in his studies of earlier music, as, for example, Phillip Spitta, ¹⁴ who ascribed Brahms's hemioīas to his study of Schütz, whereas later writers accepted the features as innate, for example Abdy Williams ¹⁵ and Adler. ¹⁶

SECTION THREE

2.

THEMATIC PROCESS AND STRUCTURE IN

BRAHMS

Schoenberg's writings on Brahms place more significant emphasis on his approach to Thematic Process than on that to Thematic Structure. Whilst comprehensive, his treatment of the latter is of a much less original nature, even drawing on examples by previous analysts of Brahms, though far exceeding them in scope of illustration. As with his discussion of Harmony and Tonality, Schoenberg draws a distinction between the methods of Brahms and Wagner, observing Brahms's interest in motivic evolution, particularly in developing variation and Wagner's emphasis on sequence in thematic structure. However, in this case he does not seek to present them as of equal importance in the development of musical language. Although he refers to their complementary influence on his early works, he regards developing variation

as a superior method and it emerges as the dominant concept in his view of the historical evolution of thematic processes. Moreover Schoenberg appears to have seen Brahms as the most distinctive exponent of this method and there are, moreover, grounds for regarding it as having arisen directly from his study of this composer. Not only are his examples from the repertory, albeit few, largely drawn from Brahms, but Schoenberg specifically refers on one occasion to "Brahms's technique of developing variation - as I call it" (SI 80) I shall therefore define this concept through reference to these examples and place them in perspective through comparison with others, from Brahms himself as from other composers.

Schoenberg directs attention to the motivic structure of five Brahms themes, namely: the second subject of the 'Cello Sonata, op 38-1; the first subject of the 'Cello Sonata, op 99 - 1; the first subject of the String Quartet op 51/2 - 11; the first theme of the song op 123/3 ('O Tod, wie bitter bist du'); the first subject of the Fourth Symphony op. 98/1. Although only one of these themes is specifically described as employing developing variation, the others can justifiably be included in this category, as will be shown. The single example so described, from op 38-1, provides the natural starting point for discussion because, as Schoenberg states, it provides a particularly clear illustration of the method. The theme appears in FMC as an example of the most advanced form of sentence structure, that exhibiting continuous development, and can hardly be related to the other examples he provides. "{It} has little in common

with the practice form except for the repetitions of smaller segments (m 5,6) and the cadential process, in which the one-measure phrases of m. 3 and 4 are reduced to half-measure residues in m.7-8" (FMC 62):

b) Gello Sonata Op. 38-1 (m. 58-65)

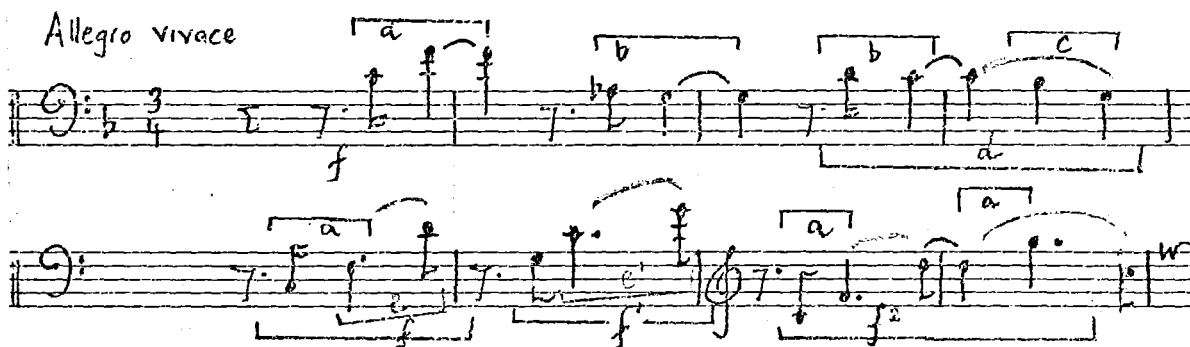
Schoenberg states of this theme that "all the motive-forms and phrases ... develop gradually out of the first three notes, or perhaps even out of the first two notes" (Ibid). This comment is not really clear

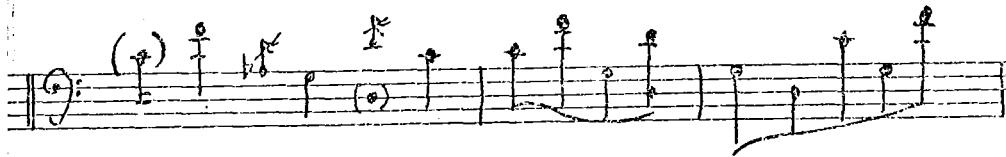
in that he only seems to regard notes 1-2 as his basis (a); the three-note group is significant only in containing notes 2-3 (c), which are important later. Whilst the theme grows progressively from its opening interval, there is considerable scope in the methods employed as between bars 1-2 and 3-8. The initial variants are clear, produced by (1) extension, (b); (2) rhythmic variation, (b); (3) variation of the intervallic shape of an existing rhythm, (b¹), the falling third being extended upwards. Of these methods, (2) and (3) are derived from the categories given in FMC (10), although not (1), which extends the model rather than varying its existing features. (Although Schoenberg does not distinguish the rhythmic variant from its model, terming both (b), it should be so distinguished according to his examples in FMC). These variants are, however, simple compared ^{with} (c¹), which takes not only the rhythm, rather than the interval, of (c) as its basis, but is derived from a seemingly incidental interval, that which links the first two statements of (a). This more abstract kind of derivation finds no model in FMC, though it is highly significant in the present examples. An alternative explanation would regard (c) as arising as a counterpoint to the motive (b), now in the right hand of the piano at the end of its imitations; however, Schoenberg does not admit contrapuntal relationships as an aspect of developing variation, which is confined to single lines.

As with its origin, the subsequent development of (c) is very free in relation to the preceding variants, progressing from a rising minor second to a falling diminished fifth, rising fourth to falling

octave. Bars 5-8 are clearer in their motivic relationships. (c⁵) restates (c¹), being extended to produce (d¹) and (e¹), the repetition of this bar providing an obvious example of a local variant, whilst the closing motives (c⁷ -⁹) expand the rising (now major) second to a fifth. As with the derivation of (c) however, Schoenberg's derivation of (d¹) - as a filling-in of the first (d) in bar 1 - appears very abstract, justified only by the fact that (d) is the only rising third to which (d¹) may be related as a filled interval in accordance with his principles in FMC; according to the variation of (a), however, it can as well be seen as an extension -of (c¹).

Schoenberg does not present the op 99 theme as an example of developing variation, the date of his analysis being too early (1931). However, his stress on the speed of the theme's evolution and his comparison with his own themes which "employ constant variations, hardly ever repeat anything unaltered {and} jump quickly to the remoter stages of development"¹⁷ relates it clearly to the previous example. Although Schoenberg does not analyse the motivic properties of the theme itself, they can be identified on the model of his analysis of the op 38 theme, as in my example:





Schoenberg does not point out that the process which he illustrates can only be seen if the interval of the fifth in bar 3 is played in retrograde without the intervening rest.

Whilst obscure, this relationship confirms the extent of Schoenberg's emphasis on intervallic relationships within themes as against other, more obvious, rhythmic and harmonic factors, a tendency only suggested in the presentation of his examples in FMC. This tendency is further confirmed in the much better known analyses in 'Brahms the Progressive', from op. 51/2 - 1 and op. 121/3, which are dominated by intervallic considerations.

As with the previous example, these are not presented as illustrations of developing variation. They occur in the context of musical prose, a term which, though not his own,¹⁸ Schoenberg used frequently and to which he attached great significance; it could as well apply to the op 99 theme. He describes musical prose as providing "a direct and straightforward presentation of ideas, without any patchwork, without mere padding and empty repetitions". - intended for "upper class minds" - "not only doing what grammar and idiom require, but, in other respects lending to every sentence the full pregnancy of meaning of a maxim, of a proverb, of an aphorism". (SI 515) . He illustrates musical prose through

reference to the transition section of Mozart's String Quartet K. 421 - 1, which employs "nine little phrases varying in size and character within no more than eight measures" (Ibid) and specifies that musical prose means "perfect independence from formal symmetry" (SI 416), (though not. thereby from regular numbers of bars). Although musical prose is not of necessity synonymous with developing variation, since one can construct irregular, prose-like units which do not grow progressively it seems very likely that a prose-like structure will arise through this process; the Mozart example certainly provides evidence of this association.

(APPENDIX EXAMPLE 6)

Since the Brahms examples give even greater evidence of organic growth, they can be taken as illustrative of developing variation and related to those preceding, especially since they are themes, rather than transitional passages.

In these themes, Schoenberg sees the entire evolution as grounded in a single interval. The song 'O Tod, wie bitter bist du' relates most closely to his model example, the op 38 theme, in beginning with a single interval, rather than the combination an interval with its inversion, or a variant, as in the op 51/2 and op 99 themes:

1st phrase 2nd phrase 3rd phrase

O Tod, o Tod, wie bit - - ter, wie bit - -

1 2 3 4

4th phrase

- ter bist du, wenn an dich ge-den-ket ein Mensch, ge-denket ein Mensch, der

5 6 7

5 6 7

5th phrase

6th phrase

gu - te Ta - ge und ge - nug hat und oh - ne Sor - ge le - bet

8 9

p

**

7th phrase

und dem es wohl geht in al - len Din - gen und noch wohl es - sen mag!

10 11 12

etc.

etc.

Schoenberg sees the initial interval (a) as subject to transposition, inversion (melodic and harmonic), extension and filling-in, procedures observed earlier, though not collectively within a single theme, nor applied to a single interval. Hence Phrase 1 comprises two statements of the interval (a), the second a downward transposition. Schoenberg's description of this phrase as consisting of a succession of three thirds is, however, unclear, since he only so marks the first and third; his view can, however, be clarified through reference to the imitation in the piano part, where the motive (a) is included across the rest. This view of a motive as connecting two motives bears obvious relation to the previous examples, the derivation of (c) in the op 38 theme, and the identification of the fifth as an inversion of (a) in the op 99 theme. Phrase 2 comprises the inversion of (a), (b), extended by the restatement of (a) with an interpolated note, to create motive (c). Whilst the process of extension in the second phrase relates directly to the comparable part of the op 99 theme, creating the same accentual displacement of the following phrase, the interval involved is not new, as in that case, but the basic third, filled in. Phrase 3 presents a sequence of the second with yet another extension involving the original inverted third (a) and (b). Schoenberg sees the opening of the fourth and fifth phrases as dominated by the harmonic inversion of the falling third, the rising sixths E-C and D-B,

with the falling thirds dominating the continuation at the different levels of minim and quaver, the filling process reaching a climax in the final phrase. He regards the harmonic inversion in phrase 4 as constituting a variation of phrase 1, supporting this view through reference to the retained canonic relation between voice and piano. A further, longer term, influence of the third is identified in the sequence of phrase 4 and in the relation of the bass of phrases 5 and 6 and part of 7, although these features lie outside considerations of either developing variation or musical prose. Not merely is the sixth phrase shown as an upward transposition of the fifth, founded on the bass movement G-B, but the seventh phrase, whose vocal part is newly evolved, begins on the next third D and reaches a climax on F sharp as dominant of B, dominant of E minor. Furthermore, within this large movement, Schoenberg draws attention to the influence of the original succession of falling thirds, extended in bar 10 to six steps according to his interpretation of the implied bass. The vocal part reveals the same permeating influence of the third established with passing and auxiliary notes, thus intensifying the innovations of the fourth phrase. The role of the inversion of the falling third to rising sixth is again strongly-stressed in Schoenberg's analysis of the close of the song in the major mode.

Schoenberg draws attention to the close relation between the opening of this theme and that which opens the Fourth Symphony, (SI 431) pointing to the common use of the "structural unit of the interval of the third." He illustrates the point more fully in the context of the motive in FMC showing that bars 1-8, the first sentence, are built from a series of descending thirds, though obscured by the use of harmonic inversion, followed by a series of ascending thirds, including octave displacement (FMC 11).

Ex. 13
Brakins, Symphony No. 4-I



Although this sentence is certainly the most intervallically economical of all those he cites, it is not of great interest as regards developing variation, because the motive-forms do not evolve progressively. Since, however, harmonic inversion does appear to class as a modified variant in Schoenberg's examples in FMC (10), exact repetitions being illustrated through the melodic inversion, retrograde and retrograde inversion of this same sentence (FMC 11), it must be classed as developmental. In view of the fact that this theme occupies such an interesting position, its remarkable intervallic economy precluding development comparable with that in the previous examples, it is to be regretted that Schoenberg does not discuss it further in either of these sources.

The op 51/2 theme is the most concentrated of Schoenberg's examples since it combines a strong sense of growth with a remarkable intervallic economy: (SI 430 - 1)

The musical score for the theme of Op. 51/2 by Arnold Schoenberg is presented across five staves. The notation is in treble clef with a key signature of one sharp (F#). The score is divided into six phrases, each labeled with a number and a bracket. The first four phrases are labeled '1st phrase', '2nd phrase', '3rd phrase', and '4th phrase' respectively. The fifth and sixth phrases are labeled '5th phrase' and '6th phrase'. The notation includes various musical symbols such as notes, rests, and dynamic markings (e.g., *f*, *fz*). The score is written in a compact, concentrated style, reflecting the 'intervallic economy' mentioned in the text. The first staff contains a single note, while the subsequent staves contain the main melodic and harmonic material. The score is divided into measures by vertical bar lines, and the phrases are further delineated by brackets and labels.

Schoenberg regards it as containing "exclusively motive-forms which can be explained as derivatives of the interval of a second (a)". Hence, phrase 1, consists of (a) plus its rhythmically varied inversion (b). Phrase 2 combines two statements of (b) in descent to produce (e) with the motive (d) which is derived from phrase 1 (the second note of (a) plus (b)). Phrase 3 contains (c) twice (e^1 , e^2), the second statement transposed upwards. Phrase 4 is "a transformed transposition of (c)", with rhythmic variation and beginning a tone higher. Phrase 5 "though it looks like a variant of the preceding phrase, merely contains (c)". Phrase 6, "consisting of (c) (d) and (b), contains a chromatic connective B sharp, which could be considered as the second note of a form of (a). This B sharp is the only note in the whole theme whose derivation can be contested." Schoenberg's reservations about this note obviously concern its chromatic character. The only other accidental in the theme, D sharp, relates clearly to the dominant region which is temporarily established at bar 5, whereas the B sharp is merely a chromatic passing note from dominant to tonic harmony. Since, however, no reference is made to harmony in the analysis, the objection is not really clear; the relationship to (a) is as justified here as in any other case, although it is perhaps more important that the interval B sharp to C sharp should be so identified by analogy with the preceding treatment of phrase connection.

Whilst the intervallic economy is striking here, it is again the nature of the relationships which Schoenberg perceives between and within phrases which commands greatest interest, notably the derivations of the connectives (d) and (f), and the identification of common content between phrases. The derivation of (d) stands in succession to that of (c) in the op 38 theme. Here again a motive is derived not from within a phrase, but from between phrases. Hence, (a) is seen not merely as part of phrase 1, (c), but as a connective between phrases 1 and 2. Though Schoenberg does not identify it, the same principle is applied between phrases 2 and 3. Schoenberg's capacity for observing abstract relationships is particularly demonstrated here, since he shows the presence of (d) across a rest in preference to pointing out the much more obvious connection between the phrases: namely that Brahms takes the end of phrase 1 as the beginning of phrase 2, and likewise in phrases 2 and 3. This process may perhaps be seen as varied in the rest of the theme, phrase 4 beginning with a transposed second (though expanded), phrase 5 with an inversion of the preceding falling fourth. Schoenberg sees the connective (f) between motives (c) and (d) in phrase 2 as "abstracted from (e), in inversion". Thus, even the seemingly incidental leap which connects (e) and (d) is structurally related to what precedes it and to its subsequent appearances, the latter a matter of some importance to Schoenberg in view of the regular recurrence of the interval within and between phrases, in both original and inverted forms. (f, f¹, f², f³,).

Since it is not my purpose to criticize Schoenberg's analytical method as such, but rather to discuss its nature, the numerous queries raised by these examples must be passed over with a few general comments. The features already questioned, as well as many others, point to a general obsession with the explanation of the origin of every motive and interval, with the desire to prove that every theme which he cites is completely 'unified'. To this end Schoenberg ignores the rhythmic and harmonic factors which would serve to place one motive in a more important position than another. Even considered in purely melodic terms, longer-term considerations of linear progression are virtually ignored, in favour of surface detail. The op 51/2 analysis particularly serves to illuminate some of these points. Schoenberg's derivation of motive (f) invites obvious challenge, for example. If we view the harmonic structure as an equally powerful force in the conception, then Brahms's desire to return to the tonic at bar 3 only leaves him with the notes of the A triad from which to proceed, and the choice of the tonic or fifth is open, given that the major third, C sharp, is already present in the bass and therefore unsuitable. Each of the subsequent appearances of the fourth can also be explained in terms of the underlying harmony. In the third phrase the leap is necessitated by the harmonic progression towards the halfway cadence on the dominant, given the desire for sequential intensification towards this cadence. The fourth in bar 5 can be seen as arising from the need to reach

D sharp as the third of the implied B chord, consistent with the motivic requirements of (b) at this point. The rising fourth in bar 6 reaches its harmony note A, directly. The falling fourths of bars 6 and 7 are merely arpeggiations to articulate the chord. The abstraction of the fourth also takes no account of rhythmic factors. If the rising fourth could be shown to have derived directly from (e) by a visible process of inversion involving the whole motive, of which it could then be seen as a diminution, this view might be acceptable. As it stands, the view ascribes a relationship to an interval which lasts only one fifth the length of its supposed model.

Schoenberg's failure to consider rhythmic factors in assessing the derivation of the rising fourth is reflected throughout. He gives no consideration to the basic time units of the theme and their remarkable economy. Schoenberg's points could all stand in relation to a theme of much greater rhythmic variety, which would not possess the same interest. Concomitant with the intervallic evolution is the evolution of time units, involving progressive diminution of values to create the basic material. Hence, the second interval (b) is a diminution of the first interval (a). From the moment of this derivation, the basic pattern of minim - dotted crotchet never recurs. The downward extension of (b) in the second phrase involves a diminution to quavers. The next stage of generation, the triplet figure in phrase 4, is a further variant of the basic

motive; as Schoenberg's intervallic analysis shows, the diminution to triplets may also influence the shortening of the phrase to four crotchet beats which, with its repetition in the following phrase, imparts the only variety to otherwise constant, though internally irregular, 6 pulse phrases. When Schoenberg comes later to discuss the basic phrase lengths of the theme, he merely concerns himself with the end result, stressing the avoidance of main beats at phrase openings and metrical shifts. In demonstrating how a less resourceful composer might have treated the material, he completely removes the element of connection, yet still makes no comment on its absence: (435)



In summary, therefore, Schoenberg can be regarded as having identified three basic applications of developing variation in the Brahms themes. In Type 1, the most fundamental method, a series of closely related motive-forms is stated at the original pitch, as in the opening of the op. 38 theme. Type 2, which also retains intervallic identity, applies inversion (harmonic or melodic) and transposition as well as repetition to the basic interval, deriving all its material by these methods, as in the opp. 51/2, 98 and 121/3 themes. Type 3 applies new intervals to existing rhythms, as in the latter part of the op 38 and op 99 themes. Of these methods, Type 1 is the least flexible, Type 3 the most flexible. Viewed overall, Type 2, is the most commonly employed method in the Brahms examples. Within these basic outlines, Schoenberg stresses certain devices as particularly characteristic of Brahms, namely: the extension of length through varied repetition, often creating accentual shifts; the repetition of features from one phrase in another, notably the repetition of the end of a phrase at the beginning of the next; the abstraction of connective intervals from previous elements.

In setting Schoenberg's observations in a broader perspective, it is necessary to consider the balance of his approach, both with regard to Brahms's themes themselves and their relation to those of other composers. It is in the first place, essential to ask to what extent the features which he observes as characteristic of Brahms are equally apparent in a broader selection of examples; second, to what extent Brahms's methods are distinct from those of other composers cited in this context by Schoenberg.

Whilst a thorough assessment of typicality lies outside the scope of the present study, it seems clear that Schoenberg's examples lay greater stress on Brahms's later rather than earlier thematic methods, in which his motivic working was at its most concentrated. Thus, the example from op. 121/3 has clear relations both with the set as a whole and with other works of this, the final period, 1891 - 7. However, it is also apparent that the example stands out in its degree of both intervallic economy and irregularity of phrasing. Whilst, for example, the preceding song op 121/2 is also based on the falling third, it produces fewer derivatives, avoiding the prominent use of inversion, and is less interesting in its phrasing.

(APPENDIX EXAMPLE 7)

The contrast of method becomes much wider in respect of the op 51/2 theme. Whilst intervallic economy is characteristic of Brahms's themes throughout his life, the intervallic unity of the parallel movements of the other string quartets, both completed in this period, though manifest, (rising and falling seconds in op 51/1, rising and falling thirds in op 67), does not appear through as developmental a process.

(APPENDIX EXAMPLE 8)

The developing variation whereby each phrase clearly grows from, but varies, that which precedes, with consequent effect upon the regularity of phrasing, is not present to the same degree here. Though the op 51/1 theme reveals this tendency in the extension of its second bar, the rest of the theme does not pursue this feature, whilst the intervals of the op 67 theme accommodate themselves closely to the basic phrasing, appearing as passing rather than structural features. These observations apply to other themes of the period, many of which show greater stress on rhythmic rather than intervallic unity, a feature particularly clear in the quicker themes, where more rapid movement places greater emphasis on rhythmic rather than intervallic unity, as for example in op 67-III, op 51/1 - 1 and IV, examples which relate rather to the third type of developing variation, as exemplified in the op 38 and op 99 examples. The striking intervallic economy present in the second theme of op 51/2 -1, noted by Rufer as an example of developing variation, may perhaps have been inspired by that of the slow movement, whose basic semi-tone motive it shares:¹⁹

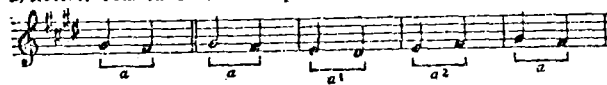


That the stimulus for Schoenberg's Brahms analyses, particularly of the op 51/2 theme, did not arise solely from the nature of the material itself seems clear if his analysis of the latter is compared with that his own song op 22/1, 'Seraphita', which was broadcast during the period that he was preparing the Brahms essay, in February, 1932.²⁰ Schoenberg demonstrates how the principal line is built from one basic element, the same as the Brahms theme, namely the minor second. It is likewise presented in original and inverted form and inverted by octave transposition. Schoenberg shows the same interest in shape rather than interval, accepting variants of the second and the third which are added to it, just as he regards the falling major second as an inversion of the rising semitone of the opening of the op 51/2 theme. Although Schoenberg is concerned with two basic elements in his own theme, the minor second and minor third, rather than one interval, his emphasis on the juxtaposition of these elements and their rhythmic variation and combination bears obvious relation to his Brahms analyses, though his argument is more convincing, for obvious reasons.

As with his discussion of tonal characteristics Schoenberg's case for Brahms's 'progressiveness' in thematic matters is argued on the basis of careful selection. In consequence, the choices again clearly serve to identify the factors which contributed to the evolution of the concepts themselves, here specifically that of developing variation. The extent to which this concept was identified with Brahms can be more fully clarified if comparison is made with the few other examples not by Brahms through which Schoenberg illustrated the concept; these are from early Beethoven Piano Sonatas, discussed in connection with The Motive in FMC. Both are, however, worthy of comparison with Brahms since they are based on an intervallic motive comprising only one interval in the first case and two in the second. The theme of op 2/3 - II is shown as developing entirely from the motive G sharp-F sharp by means of rhythmic variation "combined with transpositions and change of direction": (FMC11)

Ex. 15

a) Motive. Combined with transpositions and change of direction



c) Beethoven, Op. 2/3 - II



that of

op 22 - III is seen in terms of the motive D-E flat-F rising, here employing embellishment and 'filling in' as well as transposition.

Ex. 18

a) Motive

b) Op. 22-III

Menuetto

In the first example Schoenberg shows how not merely the basic progression of each phrase derives from the motive, but also all the internal detail, the new interval marked (b) arising as a consequence of the varied uses of (a). He allows slightly more freedom in the analysis of the second example, permitting the embellishment of the basic motive to stand without relating its detail to the original, and accepting the final motive form (a⁵) as a counterpoint to the implied basic motive, (a). This contrapuntal derivation can be set beside that noted in the op 51/2 theme of Brahms as offering an explanation of the free intervallic derivation stressed in the bp 38 theme.

Whilst Schoenberg's analyses reveal the motivic economy of the Beethoven themes, however, they can hardly be placed in the same class as those of Brahms, since the economy serves decorative rather than evolutionary ends. In the first example, the basic motivic progression, or its inversion, is merely filled-out with diminished variations, hardly progressing in any significant manner by its fourth bar nor disturbing its phrasing by this stage, and moving no further in the consequent bars which Schoenberg does not quote. Although the second example presents greater evidence of growth within its first four bars, the prominence of the embellished form, particularly in its sequential use in the consequent reveals a process of juxtaposition and balancing within a clear framework of phrasing, which hardly seems to justify the lengths to which Schoenberg goes in explaining the bases of the connections. In contrast, such embellishments, or local variants are virtually excluded from the Brahms themes in Schoenberg's analyses, which show a steady evolution in which each phrase results from the growth of its motive, rather than as a filling-out of a pre-conceived scheme of phrasing, achieving considerable internal irregularity as a result.

In contrast to the detail with which Schoenberg discusses the thematic processes of the preceding themes, his comments on Phrase Structure, chiefly in FMC, are all of a passing nature; they relate to examples selected merely to illustrate the basic conventions of period and sentence structure and the means of deviation from them, with no attempt at critical comparison. None the less, it is possible, through reference to examples by other composers in FMC, to draw some conclusions as to the features which most interested him in the music of Brahms. It is appropriate in this context to introduce the various examples of phrase structure in songs which are included in 'Brahms the Progressive'. Despite Schoenberg's stress on Brahms's allegiance to the metres of these poems in determining their settings, almost all these examples show his independence of poetic considerations, revealing purely musical means of phrase variation, and can therefore be regarded as providing further evidence of his general methods and related to the other examples; indeed, the song examples emerge from the discussion of instrumental themes which may be similarly added to produce a substantial body for discussion.

Schoenberg devotes roughly equal attention to period and sentence structure in FMC, drawing a wide range of examples from 18th and 19th Century composers, a core representative of both types being formed by Haydn, Mozart, Beethoven, Schubert and Brahms. Although aiming to show the basic features of phrase relationships in the practice forms, Schoenberg takes every opportunity to stress the means of variation. These deviations may be reduced to several recurrent types, all save one illustrating process of

extension. The exception (the opening of the Overture to Mozart's opera The Marriage of Figaro) shows how a sentence of eight bars is reduced to seven by the omission of the expected repetition of the first bar:



Examples of extension may be reduced to four types, in order of frequency, involving the following methods:

1. The insertion of a new motive-form or phrase.
2. The repetition of a motive-form or phrase.
3. The addition of an initial and/or concluding feature.
4. The augmentation of a motive-form or phrase.

The Brahms examples in FMC illustrate these types as follows:

1. Op 78 - 11, first subject
2. Op 38 - 11, first subject
3. Op 67 - 11, first subject, op 38 - 11, first subject.
4. Op 26 - 11, first subject

The examples from 'Brahms the Progressive' add as follows:

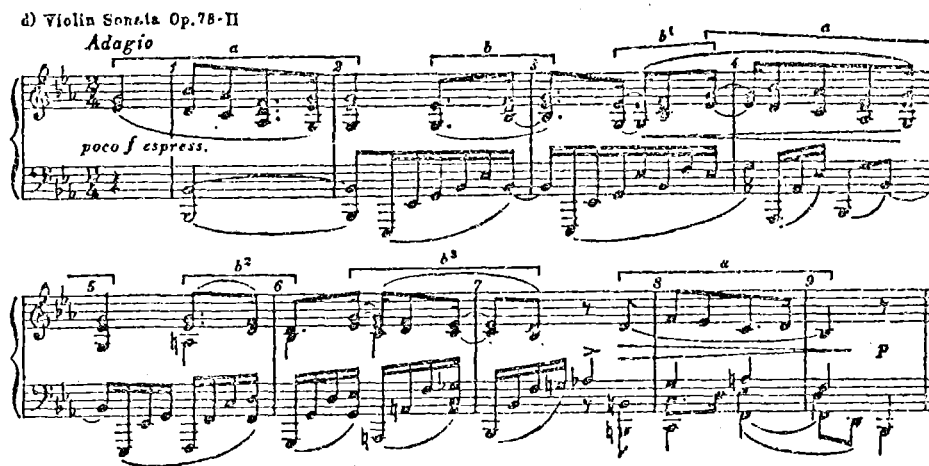
1. None
2. Op 18 - 1, second subject
3. Op 18 - 1, first subject; one song
4. Op 36 - 11, first subject; six songs

In relating Brahms's irregular examples to those of other composers, the clearest discrepancies of method naturally appear in connection with Type 1, of which only one example is given from Brahms. Schoenberg's examples are mainly drawn from Mozart Piano Sonatas and illustrate a consistent feature, the insertion of a two-bar, and in one case, three-bar, phrase into the consequent; in three cases the insertion is in bar 7-8, in one case in 5-6. Though these insertions involve new material however, they each relate to an element of the preceding.

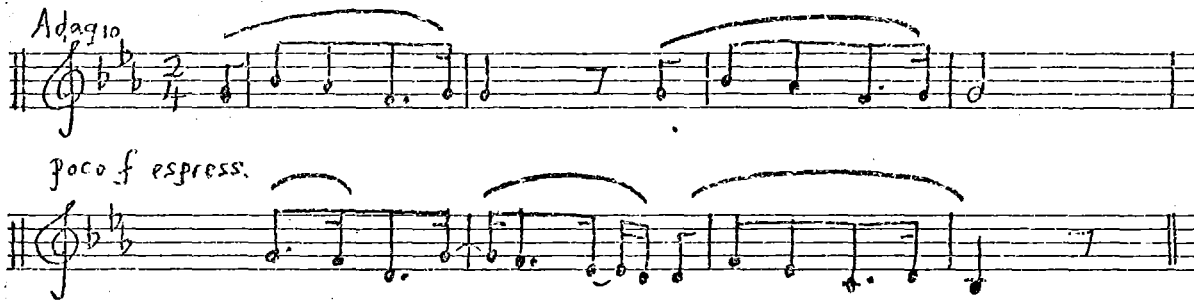
(APPENDIX EXAMPLE 10)

This relationship is closest in the two-bar phrases. The K. 279-111 example inserts a figure at 7-8 which varies the figure at 3-4, retaining its rhythm. In K. 282-11 and 283 - 1 the new material is slightly freer, the upbeat figure deriving from the antecedent in both cases, whilst leading to new material in both rhythm and pitch contour. The greatest contrast appears in the three-bar insertion of K. 280 - 1 where no features are directly attributable to the antecedent and the insertion itself comprises three distinct elements, a contrast requiring immediate restatement for its establishment, thus extending eight bars by six to a total of fourteen.

The Brahms example (Op. 78-11) stands in complete contrast, employing extension by only one bar, and that so subtly organized motivically that it could well be cited as an example of developing variation. Schoenberg merely sees it as an eight-bar theme, modified by the insertion of a second motive-form (b) and its repetition, (b¹), (FMC 62).



Motive-form (b) can, however, be seen as a varied repetition of the close of motive-form (a), altered only in respect of the final pitch. The basic form of the antecedent would presumably appear as in my simplification, where I also give a more predictable version of the consequent:



The upbeat which begins the original version of the consequent is perhaps more determined by the upbeat insertion in the antecedent than by the upbeat in the opening of the theme; the quaver of the

final phrase of the consequent seems a more likely opening and one wonders whether Brahms's initial crotchet upbeat was an extension of this first thought. Both the insertion and the opening of the consequent follow a similar principle, namely the statement of a three-note motive, followed by its diminished and syncopated repetition, though this is extended in the consequent, rather than dovetailed, as in the antecedent. These features, taken with the "refrain-like recurrence of the opening phrase in m.8-9", (FMC 62) a feature he regards as remarkable, produces the most economical example amongst Brahms's sentences and, for this reason, falls almost outside this classification. According to my model, an immediate repetition of the basic opening phrase is to be anticipated, followed by free development.

Irregularities of Type 2, the repetition of motive-forms and phrases, are illustrated through examples by Haydn, Mozart, Beethoven, Schubert and Mendelssohn.

(APPENDIX EXAMPLE 11)

Although disturbance by two-bar extension is again common (Mozart, Piano Sonata K 333 - 1, 7 - 8, Haydn, Piano Sonata, Op 28 - 111, 5 - 6, Mendelssohn, Song op 57/3, 7 - 8) as well as by four bar extension (Mozart Piano Sonatas K 280 - 1, 9 - 12 and 330 - 1, 9 - 12), a significant number of extensions by only one-bar segments is to be found, as in Beethoven, String Trio op 8 - 11, Schubert, String Quartet op 125/1 - 1, Haydn, String Quartet op 64/4 - 1 - 11 and Mozart, Piano Sonata K 310 - 1. The most unusual is the Beethoven example, which repeats the motive of bar 3 in order to produce an antecedent of five bars, further extending the process in the consequent

to produce seven bars. Répetition produces less obvious irregularities in the Schubert example. Here bars 2 and 4 are repeated to produce a six-bar antecedent. Further repetition, of bars 7-8 in 8-9 establishes a four-bar unit which requires balancing in order to complete the consequent, producing a total of fourteen bars. The most economical examples are from Haydn and Mozart, both only extending from only eight bars to nine by repetition of bar 6.

c) String Quartet, Op. 64/4-II
Adagio

mere interchange

full cadence

d) Piano Sonata K.V. 310-I
Allegro maestoso

sequence

chain from a

However, neither rivals the Brahms examples, from op 18-1 and op 38-1, in economy, both being built from two distinct motives, one of which is repeated to create the extension. In the Haydn example, the material is less distinct motivically and in the Mozart example the repeated motive only appears in the consequent.

9 measures

c) Cello Sonata Op. 13-11

Allegretto quasi Menuetto

Violoncello

Piano

dolce

residua

However, the Mozart example is much the more interesting in the ambiguity of its structure, to which later reference will be made. Here it can be noted that, as in the Brahms op 18 theme, the extension is counter-balanced by the overlapping of the repetition of the sentence.

Schoenberg's examples of Type 3 in FMC are all of one kind, namely the provision of an introduction to the theme, which may or may not be balanced by a coda. Both Brahms examples provide clear illustrations of the potentialities of the introduction, one adding a coda. In op. 38 - 11, a single bar, bar 6 of the theme, serves as an introduction in the accompaniment, (FMC 81) whilst, in op. 67, (54) the lower strings produce a two-bar introduction to the theme, which anticipates later features. (Ibid.)

c) Cello Sonata Op. 18-11
Allegretto quasi Menuetto

Violoncello

Piano

residues

10 11 12 13 14

b) String Quartet Op. 67
Andante

The musical score for String Quartet Op. 67, Andante, shows measures 1 through 10. The notation includes treble and bass staves with musical notes and rests. Below the staves, figured bass notation is provided for measures 1 through 10. The figures are: (1) I, (2) V, (3) I, (4) V, (5) VI, (6) II, (7) I, (8) III, (9) V, (10) I. A bracket under measures 8, 9, and 10 is labeled "Dominant region: IV".

Three of the four examples by other composers are by Schubert, again showing Schoenberg's stress on a particular device employed by a selected composer. Though serving a comparable purpose, there is, however, no direct parallel between the methods of Brahms and Schubert. Schoenberg's simplest example is the opening theme of the Piano Sonata in B flat op. post - IV, which merely states an octave G, dominant to the secondary dominant of B flat, of two bars duration. (FMC 77)

c) Piano Sonata Op. Post: IV
Allegro ma non troppo

The musical score for Piano Sonata Op. Post: IV, Allegro ma non troppo, shows measures 1 through 10. The notation includes treble and bass staves with musical notes and rests. Below the staves, figured bass notation is provided for measures 1 through 10. The figures are: (1) VI, (2) II, (3) VI, (4) II, (5) II, (6) I, (7) I, (8) II, (9) I, (10) I.

A further expression of this principle, though harmonically less interesting - on the primary dominant - appears at the opening of the String Quartet op. 29-III and many parallels can be found in Schubert.

(FMC 77) This theme is, however, capable of dual interpretation, either as a 'natural' structure of six bars in antecedent and consequent, of which the introduction is an integral part, or as an extension of an eight bar sentence as follows: 1-2 Introduction; antecedent 3-4(5-6) 7-8; consequent 9-12. The op. 29-1 example presents an articulation of the chord of A minor, an anticipation of the accompaniment of the theme at bar 3, a procedure exactly reproduced in the opening of op. 53 - IV.

d) String Quartet, Op. 29-1
Allegro ma non troppo

e) String Quartet, Op. 29-III
Musette

f) String Quartet, Op. 29-III
Musette

Although direct comparison must be tempered by the differing characteristics of the themes in question, Brahms's examples appear the more resourceful, taking thematic rather than accompanimental elements and, in the case of the op 67 theme, producing a contrapuntal fabric from the theme. The coda which Brahms adds to the op 38 theme is of interest in relation to the other examples cited. It employs residues of the preceding motive-form and as such relates more closely to the Mozart example from K 282 - 11, than to the Schubert example op 122 - 111, the latter adding four bars of relatively independent material, the former, like the Brahms, recalling motivic features of a basically eight-bar sentence in reduced form:

b) Piano Sonata K.V. 282-II
Menuetto I

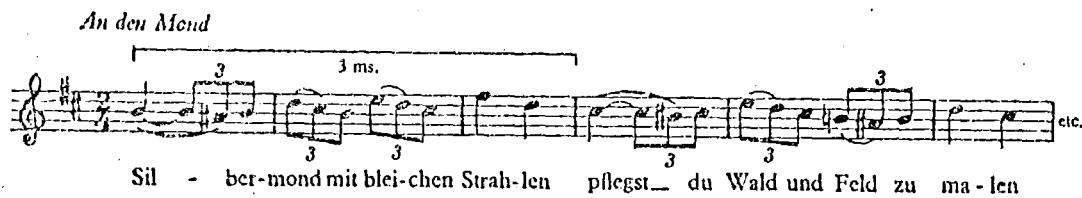
The musical score is presented in three systems. The first system contains measures 1 through 4, marked with a piano (p) dynamic. The second system contains measures 5 through 9, with measure 5 labeled 'Insertion'. This system includes a variety of dynamics: piano (p), mezzo-forte (mf), and forte (f). The third system contains measures 10 through 12, marked with a piano (p) dynamic. The notation includes treble and bass staves with various musical symbols such as notes, rests, and bar lines.

However, these Brahms examples are of comparatively limited interest in relation to those in 'Brahms the Progressive'. Here the main theme of op 18-1 and the song 'An dem Mond' op 71/2 show an organic approach to the addition of initial and concluding features to a basic structure.



In the first case, (SI 416) a basic eight-bar theme is extended by the use of an initial segment of three bars (1+2) and by a concluding transition to the returning theme, producing a structure of 3,2,2,2,1 = 10. Although the first three-bar phrase is continuous, with no repetitions or insertions, the close relationship of bars 2-3 and 3-4 shows that the first phrase can be regarded as simply extended by an initial minim. This addition is also balanced at the close by the augmentation of the note A in bar 9 to a minim, where a crotchet could have led to the reintroduction of the eight-bar form. This extension then requires balancing with another bar, which links to the repeat.

A similar method is employed in the song 'An dem Mond'. (SI 420) As Schoenberg stresses, the rhythm of four metrical feet in the poem requires only a two-measure structure, but receives three by virtue of augmentation at the beginning and end. Here an initial crotchet extends the opening, whilst the predicted triplet rhythm of the final word 'Strahlen' is augmented, this adding an equal crotchet value at either end to a basic two-bar unit.



Whilst no parallels for these structures are to be found in FMC, one of the Mozart examples in 'Brahms the Progressive' rivals them, namely the first theme from the String Quartet K. 458-11. This example is highly significant since Schoenberg quotes it in 'Brahms the Progressive' as one of the most notable examples of asymmetry before Brahms. (SI 410) Unfortunately, he adds no comment on the motivial evolution of the passage. However, its relations to the Brahms theme are so obvious that it seems difficult to believe that the inclusion of the first Brahms theme a little later in the essay was purely fortuitous.



Both the three bar phrases begin with a minim which may be seen as additional in the light of the subsequent phrasing; the similar scalar shape is also worthy of note in this particular context. In both the themes the basic phrasing begins on the upbeat, so that a tension exists between the norm established in the first phrase and its subsequent development. In the case of the Brahms theme this tension could be removed by the omission of the first minim. Such modification would be much less successful in the Mozart example since the following phrase introduces elements which supplant bars 2-3, whereas Brahms simply repeats them. Despite this contrast however, the themes are similar in their sense of continuous development. While Mozart's second phrase varies the pitch of the first phrase, in contrast to that of Brahms, it still repeats the rhythm; the repetition of this phrase by sequence and, in the final phrases, with variation, creates the theme. Moreover, there is an economy of intervals, whereby the sequences retain the falling second of the opening, an economy also observable, though differently expressed, in the Brahms theme. Although the application of fresh intervals to a repeated rhythm at bars 3-4 of the Mozart theme relates directly to the other Mozart examples cited, the overall economy of shape in the theme is in another class and was obviously seen as anticipatory of Brahms by Schoenberg. Economical as this Brahms theme appears, however, it still remains intervallically quite free in comparison with the themes Schoenberg chose for special analysis. The interval of the second, while influential, is by no means fundamental and generative.

By comparison with the preceding, examples of Type 4, extension by augmentation, are virtually limited to Brahms; only the opening of Mozart's K 310, already noted as of ambiguous structure, is of comparable interest. The Brahms examples are the first themes of the Piano Quartet op 26 - 111 (FMC 55) and the Sextet op. 36 - 11, and the songs 'Geuss nicht so laut' (op 46/4), 'Feldeinsamkeit' (op 86/2) 'Immer leise wird mein Schlummer' (105/2) 'Mädchenlied' (95/6) 'Beim Abschied' (95/3) (418-422). These examples may further be divided into two groups; namely, those employing extension in mid-phrase and those employing extension at phrase ends. To the first group belong the op 36 theme and the song 'Geuss nicht so laut' and 'Mädchenlied', to the second, the op 26 theme and the remaining songs.

Schoenberg regards the op 36 theme as comprising 17 bars, although another phrase "begins overlappingly" at bar 17.



Whilst, since the completion of the theme does not occur until bar 17, Schoenberg's view must be endorsed, he offers no explanation for the origin of the irregularity. He merely points to the displacement of accent in bars 10 and 14, due to the extension

of a motive by augmentation of a quaver and to the "ambiguity of the ending of the second phrase", commenting "one wonders whether measures 9ff do not belong to this phrase". (417) This reference to "9ff" presumably refers to bars 9-10½, which he identifies as the next phrase. If pursued, however, this remark does lead to an explanation. The irregular length arises from the displacement to which he draws attention, whereby a phrase which could have taken four bars (9-12) takes four-and-a-half, its repetition creating a total displacement of one bar. The displacement itself, however, is caused by the extension of bar 9 by half its length, a feature which suggests a cadence rather than a new phrase, an interpretation supported by the dominant harmony, thus endorsing Schoenberg's view that bars 9-10½ belong to the previous phrase, which is therefore an extended phrase of 5½ bars. This procedure of extending the antecedent by augmentation of the second phrase, yet overlapping the displaced consequent with a new section, finds a direct parallel in the forementioned Mozart example from K 310. (see over)

Here motive (a) of bar 5 balances the motive (a) of the previous bar rather than inaugurating the next phrase, an interpretation confirmed by the accompaniment. The motive at bar 9 of the Brahms theme bears a comparable relation to the concluding motive of bar 8, as, in both cases, to the beginning of the phrase; indeed the interval in question is identical. Thus Mozart extends his antecedent by a bar, only to compensate by overlapping the final bar of the consequent with the repetition of this sentence.

d) Piano Sonata K.V. 310-I
Allegro maestoso

The half-bar extension which arises through the augmentation of bar 9 occurs in a less notable fashion in the song 'Geuss nich so laut' where Schoenberg identifies an extension of the first phrase from the $2\frac{1}{2}$ required by the five metrical feet of the poem to 6 by the use of a dotted minim rather than a crotchet. Though not as interesting, 'stretching' also accounts for extensions in bar 8 of 'Mädchenlied', where additional notes serve to displace the natural accent by half a beat.

An die Nachtigall

Geuss' nicht so laut der liebe-ent-flamnten Lie-der ton - rei - chen Schall.

The song 'Geuss nicht so laut' also illustrates the use of augmentation to extend the close rather than the middle of a line. Here Schoenberg notes that the second line, if treated proportionally, should comprise "about four measures, but occupies, inclusive of the half-rest, five half measures", (419) a procedure balanced in the consequent of this, period, form. Cadential augmentation is used more obviously in 'Beim Abschied', where a predicted four-bar phrase, reflecting a pattern of four metrical feet in 3/8, is extended to five by the augmentation of the cadential notes, repeated in the next phrase:

Beim Abschied

Ich müh' mich ab und kann's nicht ver-schmer-zen und kann's nicht ver-

-win-den in mei-nem Her-zen.

Extension of the cadence of 'Immer leiser' turns a hypothetical 2-bar phrase, reflecting lines of four metrical feet, into $5\frac{1}{2}$, although here the process involves the addition of an auxiliary note".

Im-mer lei-ser wird mein Schlum-mer, nur wie Schlei-er liegt mein

Kum-mer zit-ternd ü-ber mir, ü-ber mir.

These examples shown in the small scale an approach which is pursued more extensively in the op 26 theme. Here the continuous five-bar antecedent of a period structure can be reduced to four bars if bars 4-5 are regarded as employing augmentation and diminution.

Poco Adagio

p. dolce

Poco Adagio

p. dolce

p. forte

Although this process is not unique to Brahms, as can be seen from Schoenberg's examples from Schubert's Piano Sonata op 42 - 1 (FMC 46), his application is considerably more subtle, the means of extension being imperceptible by comparison. Such subtlety is the hallmark of the themes which Schoenberg discusses rather from the standpoint of thematic process.

Discussion of phrase structure may be rounded off for the sake of completeness through reference to the several examples of regular structure which appear in FMC. They are taken from op 18 - 1V; 38 - 1; 51/1 - 1; 100 - 1; 101 - 11. Consistent with Schoenberg's view of the greater simplicity of period structure, four of his five examples are periods.

He appears most impressed by the op 101 theme, which he describes as "extraordinary" on grounds of its structure: "The antecedent and consequent (three measures long) each combine one 3/4 and two 2/2 measures. Nevertheless, it is symmetrical and regular". (FMC 137). However, he does not further define his view, especially by comparing the example with others. It is to be noted, for example, that the 'Hungarian' theme of Brahms's Variations op 21/2 combines bars of 3/4 and 4/4 to produce a structure of eight bars. Had Schoenberg made this comparison he might have been inclined to see his two bars of 2/4 as one of 4/4 and thus regarded his period of six bars as a four-bar antecedent to a larger structure:

e) Piano Trio Op. 101
Andante grazioso

1 2 3 4 5 6

p

Andante grazioso

Period of 6 measures repeated

7 8 9 10 11 12 13

p dol.

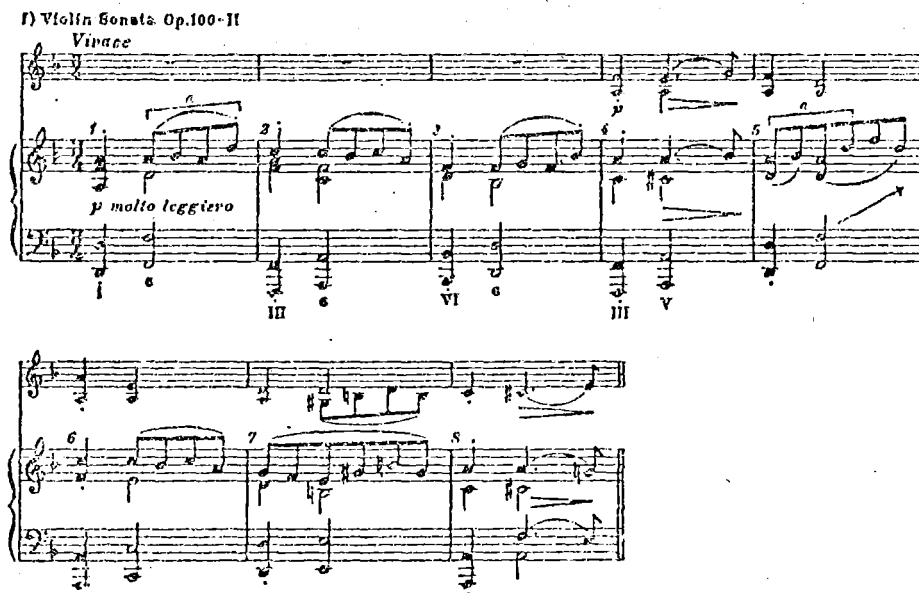
Variationen

über ein ungarisches Lied für Pianoforte

Johannes Brahms, Op. 21, Nr. 2
(Veröffentlicht 1860)

Allegro

In the op 100 theme, he notes an illustration of his concept of the "tendency of the smallest notes", generating as the theme progresses; the quaver movement in bar 5 is seen as arising from the antecedent. "The rhythmic figure (a) is shifted from the second beat to the first beat. In consequence, an almost continuous flow of quavers prevails". (FMC 31)



The op 18 theme merely serves to illustrate "a repetition {of the entire period}, unchanged in melody and harmony ... varied by supplying a quasi-contrapuntal treatment of the accompanying lower voices". (Ibid.)

c) String Sextet Op.18-IV, Rondo
(2 meas.: 1)

varied repetition of the period

etc.

21-32

The example from op 51/1 is included solely for the interest of its harmony, already noted.

The most interesting regular theme is the one sentence, the main theme of op 38 - 1. Schoenberg's comment that it is "less complex than it appears at first glance" (FMC 61) confirms his stress on the identity of a theme as a period or sentence and the clear relation of antecedent and consequent. Whilst this theme presents no irregularities of phrase length or rhythm, it obscures the practice sentence form by avoiding a transposed repetition of the first phrase in bars 3-4. Schoenberg's analysis shows Brahms as reversing the shape of bars 1-2 in 3-4, whilst retaining the original shape as a background to the development in the consequent.

a) Brahms, Cello Sonata Op. 38-I
Alliegro non troppo

The musical score is for the first movement of Brahms' Cello Sonata Op. 38-I, marked 'Alliegro non troppo'. It is written for Cello and Piano. The score is presented in two systems. The first system consists of three staves: the top staff is for the Cello, the middle staff is for the Piano, and the bottom staff is also for the Piano. The second system also consists of three staves: the top staff is for the Cello, the middle staff is for the Piano, and the bottom staff is also for the Piano. The music is in G major (one sharp) and 2/4 time. It begins with a piano (p) dynamic. The first system contains measures 1 through 4, and the second system contains measures 5 through 8. The Cello part features a melodic line with slurs and accents. The Piano part provides harmonic support with chords and arpeggiated figures.

Seen in the broader perspective of Brahms - analysis, Schoenberg's discussion is distinguished by the nature of its insight into motivic processes. In contrast, his treatment of phrase structure continues a well established tradition, though no other writers demonstrate the points with his scope. Whilst an organic approach to Brahms's thematic processes has become common since his death, no one else of his generation examined the motivic aspects of the themes he treated, nor others, in such detail, rather labelling overt relationships than considering a theme in its entirety. That earlier critics were not unaware of the influence of motivic evolution in creating some of the irregularities which they find can be assumed; this seems implicit in Tovey's comment on the second subject of the First Serenade, op 11: "No one before Brahms had attempted musical sentences of such range; and Brahms alone developed a means of continuing them without stiffness or obscurity".²¹ However, Tovey never reveals the nature of Brahms's fluency. That the exploration of such features should have to wait for so long a period is strange in view of the emphases which Marx placed upon the role of the motive. Had Riemann's interest lain less in the accentual properties of the motive and the abstract norms of phrasing built from them, he might well have pursued Marx's approach into Brahms's music and thus significantly anticipated Schoenberg.

In matters of phrase structure, however, Riemann may well have provided a direct stimulus to Schoenberg's thought. Riemann devotes significant attention to the relation of phrase variations to the requirements of poetry in song composition. Although Schoenberg's examples greatly exceed those of Riemann in number, his approach has significant similarities, which can be directly related in one song which they both treat, "Immer leiser wird mein Schlummer." When, in introducing his examples of Brahms songs, Schoenberg states "it is well known that Brahms's aesthetic canon demanded that the melody of a song must reflect, in one way or another, the number of metrical feet in the poem", (SI 418) he must have had Riemann in mind, whose work on the rhythmic character of Brahms's songs ²² was pre-eminent and accepted as such by later writers. ²³ Thus Schoenberg follows Riemann in showing, on the one hand, that the metrical interest of Brahms songs derives in many cases from the irregularity of his poetry, whilst, on the other, from other factors. In the case of "Immer leiser" interest arises, in addition to the irregularity of the poem, through the stretching of an eight syllable line to three, rather than the necessary two bars as a result of cadential repetition in the piano part. These points having been stressed,

however, the subsequent approaches are fascinating in showing their fundamental differences in outlook. Riemann's preoccupation is with the freedom of Brahms's treatment of the opening as regards its accentual pattern, beginning on the weak beat of 2/2, as opposed to the model which he suggests one actually hears, beginning on the strong beat in 3/2:

Langsam und leise

Im-mer lei-ser wird mein Schlu-m-mer nur wie Schlei-er liegt mein
Kum-mer zit-ternd ü-ber mir
ü-ber mir

Although Schoenberg's condensed version of the opening, showing an exact reflection of the poetic metre, also begins on the downbeat, he makes no reference to its accentual interest, merely ascribing the interludes which extend the basic phrasing to "the mood of the poem". His attention is rather drawn to longer-term considerations, to the fact that "this looser construction prepares for an even richer freedom of phrasing which occurs in the continuation" (SI 422). However, he does not discuss these features, but directly pursues the point of Brahms's 'foresight' both in relation to another song, *Verrat*, op 105/5, and *Beethoven's String Quartet*, op 95, thus resuming his stress on this important theme of the essay, a subject to which I shall turn in the following section.



PART TWO

SECTION FOUR

SCHOENBERG'S WRITINGS ON FORMAL RELATIONSHIPS

1

GENERAL CONCEPTS

Viewed overall, Schoenberg's writings on Formal and Contrapuntal Relationships attract considerably less attention than his treatment of the preceding subjects, since they lack comparable originality and range of illustration. None the less, many points provide further clarification of Schoenberg's didactic preoccupations and of the nature of his interest in Brahms. Of the two areas, Schoenberg's treatment of formal issues attracts the greater attention, not only because it is the more thorough, but because it reveals greater independence and presents Brahms in a more influential role. In contrast, his writings on counterpoint reached a much less advanced stage. Yet, whilst Schoenberg's few references to Brahms, as to any other composer, provide but the merest indication of his view of Brahms's importance, it still remains essential to outline his didactic treatment as a framework for classifying the undoubted relationships with Brahms which emerge from the examination of his own music.

The bulk of Schoenberg's comments on formal relationships are contained in FMC, which deals systematically with the elements of form from smallest to largest. Schoenberg's brief introduction to Part 1, titled 'The Concept of Form', reveals two distinct meanings of the term. On the one hand, it describes the outward features by which a movement is identified; for example, the number of its parts, their size, their metrical and rhythmical

features and so forth. (FMC 1) In a second sense, termed "aesthetic" by Schoenberg, he stresses the association of the term with the deeper, organic, relationships which exist within or between parts, ensuring the "logic and coherence" which should characterize the "presentation, development and interconnection of ideas", spring ultimately from the conception of a work "as a spontaneous vision" (Ibid).

Whilst form in the first sense noted is very clearly outlined in FMC, the more elusive second sense of the term is not pursued systematically at all. Having, for example, suggested the potential significance of the motive in the earlier part of FMC, Schoenberg provides no illustration of its long-term application in composition, restricting himself to purely abstract variants, as shown. Some indication of its nature in his thinking can only be gleaned from the collation of brief and scattered remarks in his writings. A related factor, the role of counterpoint in creating long-term relationships, also deserves consideration in this context, although it also receives only scant attention. Since the organic view of form draws the more original ideas from Schoenberg, it may be considered first.

Central to the discussion^{of} organic relationships is the concept of the Grundgestalt, generally translated basic shape¹. Since, though rarely used by Schoenberg, the term has been widely used since his death to account for a variety of relationships within tonal and post-tonal music,² it seems important to clarify its meaning for him, especially in the former context. Despite its importance however, it is rather to Schoenberg's pupils, Stein³ and, especially, Rufer,⁴ that one must look for a discussion of the term itself.

Rufer's book on serial composition has long been the chief source of this term, not least because of the additional emphasis placed on its adequate translation by Searle in his preface to the English edition⁵; it provides the basis for the very extensive discussion of the concept by Epstein.⁶ However, despite the status of Rufer's book, which was written with Schoenberg's guidance as the first exposition of his serial ideas, it poses problems of terminology and usage. Although these were partly rectified in a later article devoted to Grundgestalt alone,⁷ it remains necessary to clarify the term, not least in order to place the Brahms examples which follow in clearer focus.

Rufer states, "In his composition teaching, Schoenberg formed the concept of the Grundgestalt (basic shape) as early as 1919 and used it with the exact meaning it has in my book - as being the musical shape (or phrase) which is the basis of a work and is its "first creative thought" (to use Schoenberg's words). Everything else is derived from this - in music of all kinds, not only twelve-note music; and it is not derived merely from

the basic series which is contained in the basic shape, but also from all the elements which are contained in the basic shape - that is to say, those elements which, together with the series as the melodic element, give it its actual shape, i.e. rhythm, phrasing, harmony, subsidiary parts etc....."⁸ This definition has obvious links to that of the motive. However, Schoenberg does not equate the Grundgestalt with the motive: "In my very full notes of his teaching between 1919 and 1922 I find these definitions: A motif is the smallest musical form, consisting of at least one interval and one rhythm. The next sized form is the Grundgestalt or Phrase "as a rule two to three bars long (the number of bars depending upon the tempo, among other things), consisting of the "firm connection of one or two motifs and their more or less varied repetitions". (Ibid).

Rufer's equation of the term phrase with Grundgestalt rather than merely Gestalt seems reflective of his belief in the importance of unity since it implies that all phrases relate to the basic phrase. That this was an error seems clear, however, from the later source where he quotes the same passage exactly, though using the term 'Gestalt' (without acknowledgement of the change).⁹ That a clear distinction existed for Schoenberg can be confirmed by the Gedanke manuscript where he gives the separate definitions for Gestalt and Grundgestalt that one would expect, confirming the point by stating that "the 'Gestalt' does not have to have more than local significance".¹⁰

Although Rufer claims that the concept of the basic shape is valid for all music, it obviously owes much to serial thinking. Indeed, Rufer confirms in the later source that Schoenberg only evolved the term Grundgestalt from the more general Gestalt with the clarification of the serial principle, which occurred in the period he cites. Rufer's definition presupposes a basic shape approximating in length to that of a twelve-note row and he strictly equates the terms Gestalt and Grundgestalt with phrase, according to the forementioned definition, throughout his writings. This association is not contradicted by the fact that Rufer argues for a clear distinction between the terms Grundgestalt and row, or basic set, thereby setting himself in apparent contradiction with Schoenberg himself, who equates these terms on at least two occasions. Rufer's sole aim is to stress that the row, considered as a sequence of pitch classes, is distinct from the basic shape, because it is derived from it; this emphasis arises from Schoenberg's remark that "the first conception of the row always takes the form of a thematic character",¹² that "the first creative thought" is a "shape". When Schoenberg equates the terms row and shape it is because he is using the former in the sense of the latter, as in the following statement, which relates the row to the motive: "The Method of Composing with Twelve Tones derives all configurations from a Basic Set (Grundgestalt). The order in this basic set and its three derivatives, - contrary motion, retrograde and retrograde inversion respectively - is, like the motive, obligatory for the whole piece". (SFH 193)

Whilst Rufer's stress on the character of the "first creative thought" is justified, his identification of the concept of the Gestalt, and thus the Grundgestalt, with that of the phrase seems too limited and at variance with Schoenberg's own usage. If Schoenberg only ever used the term Gestalt in association with the phrase to Rufer, it must be because all the Gestalten he discussed happened to be phrases. This is certainly the case with the work which Rufer analysed in terms of its basic shape, Beethoven's Sonata op. 10/1; ¹³ indeed, it is not impossible that the striking presence of a basic shape in the form of a phrase may have helped to confirm the association in Rufer's mind, and Schoenberg's own observation of this relationship may perhaps have provided Rufer's starting point. Yet, the concept of shape seems to be as much associated with motive as with phrase in Schoenberg's writings. Hence, in defining the motive, he states that "often a contour or shape is significant, although rhythm and intervals change" (FMC 9) Since, moreover, the motive can, like the phrase incorporate several intervals into its shape - and since the phrase itself can "vary within wide limits", (FMC 3) it may well be suggested that the distinction between motive and phrase as regards considerations of recurring shape in a composition is artificial; whilst motive and phrase belong to a hierarchy of phrase relationship, their unifying function within a composition cannot be so distinguished. Indeed, Schoenberg's conceptual terminology for longer-term considerations is identical; hence as with the motive, he speaks of the need

in passages of dissolution to "liquidate the obligations of the former Gestalten".¹⁴ Furthermore, he even claims that "one piece", (one movement, if not an entire work), may be "formed from a single motive".¹⁵

Despite the central importance of long-term relationships to Schoenberg, however, he never committed himself to an analysis of this kind. Whilst he spoke of the possibility of doing this,¹⁶ he left the work to Rufer, a fact, in my view, not without significance. For, whilst many details of a work can certainly be related to its opening materials, the derivation of all the main elements from a basic shape presents far greater difficulties in tonal music than in serial music, indicating that the concept was most significantly influenced by serial practice, a fact which has not escaped attention.¹⁷ Rufer's emphases aside, however, Schoenberg's own discussions of the role of the basic motive seem to admit considerable flexibility both of terminology as of concept. Hence, he states in the article 'Linear Counterpoint', written well after the definitions given by Rufer, in 1931; "Whatever happens in a piece of music is nothing but the endless reshaping of a basic shape. Or, in other words, there is nothing in a piece of music but what comes from the theme, springs from it and can be traced back to it; to put it more severely, nothing but the theme itself. Or, all the shapes appearing in a piece of music are 'foreseen' in the 'theme'. (I say a piece of music is a picture book consisting of a series of shapes, which for all their variety still (a) always cohere with one another

(b) are presented as variations (in keeping with the idea) of a basic shape, the various characters and forms arising from the fact that variation is carried out in a number of different ways; the method of presentation used can either 'unfold' or 'develop' " (SI 290). Schoenberg seems to admit two essential types of relation to basic shape here. At the most 'severe' level, everything in a work derives directly from the basic shape or theme. However, such a relationship is not the only possibility. Variation may be merely "in keeping with the shape" or "foreseen" in part of it. Moreover, the reference to "unfolding" and "developing" indicates that the shape as such may largely disappear in the course of a composition. These two levels may be seen as reflecting serial and pre-serial modes of thought respectively. Though both may achieve seemingly distant conclusions, there is a fundamental difference between them. In the first sense, most strictly considered, a shape can only assume three other forms, inversion, retrograde and retrograde inversion, classified by Schoenbergⁱⁿ both serial and tonal contexts as exact repetitions. In the second sense, any variation is theoretically possible. The process of developing variation is only possible in the latter sense, since the former sense does not involve evolution, although in freer uses slight intervallic change is possible. The significance of this distinction in Schoenberg's thought can be confirmed through reference to examples from Brahms and Beethoven, to be discussed subsequently.

Whilst Schoenberg naturally placed great emphasis on the recurrence of a basic shape in tonal music, Rufer's all-embracing definition indicates that the concept of the Grundgestalt had broader ramifications in this context, consistent with the following, general, comment by Schoenberg himself: "Construction, formation, super-structure, - in one word, artistic expression does not depend on any technical trick, but lies rather in the musical thought itself. He who really thinks, and thinks deeply, will, with different musical ideas, produce different expressions". (SI 257) Although the 'idea' is discussed in almost exclusively motivic terms by Schoenberg, some random comments indicate that he considered the constituent notes of the shape or motive as capable of determining the principal tonal areas of a movement or work, or its harmonic character as capable of securing unity through particular treatment. Since Schoenberg makes specific references to Brahms as well as to himself in this context, subsequent discussion of their relationships is warranted, although no general theoretical framework exists for comment here.

If all the factors which contribute to unity were of profound significance to Schoenberg, it is important in conclusion briefly to place his concept of the Grundgestalt in some historical perspective. It is my view that Rufer's preoccupation with the links between serial and tonal composition led him to place too great an emphasis on the term Grundgestalt itself and therefore to seek to provide it with too precise a definition. Unlike some other terms employed by Schoenberg, Grundgestalt is not specific

to him; indeed, the prefix Grund is of general application to denote relationships of fundamental significance, and terms such as 'Grundmotiv' and 'Grundidee' are frequently to be found. Although Rufer claims that the term Grundgestalt "derived from Schoenberg",¹⁸ it can be found as early as Marx, again in association with the motive, here in the context of variation technique.¹⁹ While the scope of Schoenberg's interest in unity was far broader than that of Marx, one can well argue that, as a theorist, he got very little further in defining it. Indeed, of his generation, notably more thoroughgoing discussions of long-term unity are to be found, for example, in the writings of Reti,²⁰ Mersmann²¹ and Cassirer.²² Despite the diffuseness of Reti's arguments, his preoccupation with 'thematic contour' bears close relationship to Schoenberg's ideas and led him to attempt a more systematic discussion of the music of Beethoven and Brahms than Schoenberg. Whilst Mersmann and Cassirer are not as concerned with derivations from one basic shape, their interest in the metamorphosis of themes is much more extensively pursued, especially by Mersmann in his concept of a Substanzgemeinschaft revealing the inflexion (Abwandlung) of basic ideas (Grundideen).²³ Mersmann's influence on the analysis of Brahms has perhaps been even more significant than that of Schoenberg if judged in terms of detailed results; Blum's²⁴ discussion of the chorale-derivations of the Requiem op. 45 is more systematic than the various writings which claim Schoenberg's Grundgestalt as a model, for example, those by Walker²⁵ and Epstein.²⁶

The question of Schoenberg's relation to other theorists also arises in connection with his approach to Form in the first sense mentioned, demonstrated largely through FMC. Although this book was mainly written during the last fifteen years of his life and represents a synthesis of his ideas, it suggests little interest in the work of contemporary theorists, a point borne out in comments in other sources. His dismissive references to Mersmann and Strobel²⁷ (SI 313) and, elsewhere, Kurth,²⁸ (SI 219), taken with the lack of reference to such figures as Westphal²⁹ and Engelsmann,³⁰ suggests that he was uninterested in the field generally termed 'Psychologische Analyse' as in other approaches to matters of thematic unification, whether in contemporary or earlier music. Although he acknowledged an acquaintance with certain writings, for example by Cassirer (Letters 207), and admits to drawing ideas from others, his approach in FMC is conservative, notwithstanding its particularly didactic function, that of a 'Formenlehre'.

Although Schoenberg loses no opportunity to criticize Riemann, it is Riemann and, perhaps even more, Marx, who provides the framework for his presentation. Schoenberg mentions that his first introduction to musical theory was through Meyers Konversations-Lexikon.³² The musical editor of all Meyer's dictionaries was Riemann who, as a relatively young man at the period in question, drew strongly on Marx as his primary source, a background clear throughout FMC.

Schoenberg's discussion of form establishes a basic distinction between small and large forms, covered in Parts 2 and 3 of FGC respectively. Large forms are distinguished by "larger parts, or more parts, or both". (FGC 178) Larger parts grow from smaller parts "by means of internal repetitions, sequences, extensions, liquidations and broadening of connectives. The number of parts may be increased by supplying codettas, episodes, etc.". Moreover, "Large forms develop through the generating power of contrasts. There are innumerable kinds of contrast; the larger the piece, the more types of contrast should be present to illuminate the main idea". "In the simpler forms the chief contrast is furnished by the harmony, organized to express appropriately related regions. In the Scherzo the modulatory is presented in opposition to the stable. In larger forms a modulatory passage may be organized into an independent section, the Transition which connects the main theme with another stable contrasting idea, the secondary or subordinate theme". (Ibid)

In accordance with these principles, the Small Forms outlined comprise Small Ternary, Minuet, Scherzo, Theme and Variations; Large Forms comprise Sonata Forms, Rondo Forms and fusions of these, to whose constituent elements Schoenberg devotes as much space as to each of the simpler class. Whilst, on the surface, Theme and Variation might be regarded as satisfying some of the requirements of Large Forms, since it possesses many parts and may also exhibit considerable contrast, the fundamental limitations of harmonic contrast and inherent similarity of parts in the type of variations to which Schoenberg restricts his remarks justify its consideration as a Small Form.

Given this traditional approach to formal issues, it seems unnecessary to outline Schoenberg's remarks, save where some point of special interest arises. He places greatest emphasis on Large Forms and only in his treatment of Theme and Variations does his discussion of Small Forms attract particular attention. Unlike many writers on variation, Schoenberg makes no distinction between the types current in the period on which he draws; he restricts himself solely to variations in which the essential phrase structure and harmony of the model are preserved, in contrast to the freer forms employed, for example, by Liszt and Schumann. Thus he states that, in contrast to the simplest forms of variation by embellishment of the melody, "the course of events should not be changed; the number and order of the segments remains the same. Sometimes the metre is changed, the tempo is changed, or the number of measures is systematically multiplied by two or three. But, in general, the proportions and structural relations of the parts, and the main features, are preserved (FMC 168). In pursuance of the unity between a model and its variations, Schoenberg argues that a further degree of unity which "surpasses that of the theme" (i.e. model) is to be achieved by the "systematic application of the motive of variation. In higher forms the motive derives from the theme itself, thus connecting all the variations intimately with the theme". (FMC 169) This motive is then applied to the skeleton of the theme (model) which is produced by the omission of "everything which can be considered subordinate, e.g. embellishments, grace notes, passing notes, suspensions, appoggiaturas, trills, runs etc". As a

consequence, "the simultaneous rhythmic simplification sometimes requires regularization,..."where some features have to be shifted to other beats". Schoenberg does not limit his skeleton to one form. "Since the viewpoint determining which features are essential is not necessarily uniform for all variations, there may be more than one usable 'skeleton' ". Schoenberg's application of the motive to the skeleton presupposes that the motive be short since "its nature and length will be limited by the number and distribution of the principal tones and harmonies...It will scarcely be longer than two measures; in many cases it is a half-measure or even less." (Ibid).

Whilst Schoenberg's emphasis on the motive of variation at the expense of freer kinds of variation attracts natural interest in view of his motivic preoccupations, it must be stressed that, like his definition of the motive, the concept derives directly from Marx. Although the motivic aspect of variation is not as strongly stressed in English theory, having only recently been stimulated by Schoenberg's example, most notably by his pupil Nelson,³³ this tradition is strong in Germany and can be seen with just as much emphasis in the work of a theorist of form contemporary within Schoenberg, Leichentriff³⁴ Whilst Marx does not quite give the term 'motive of the variation' a conceptual status, it is used by him³⁵ and is implicit in his emphasis on the role of the motive in each variation, a discussion which exceeds that of Schoenberg in its detail. Schoenberg's stress on the unifying role of the motive stands

in direct succession to that of Marx. Whilst detailed comparison is prevented by the much more limited scope of Schoenberg's discussion, he clearly follows Marx in his general stress on the retention of a basic harmonic framework and the reduction of the model to its 'skeleton', his stress on the example most emphasized by Marx, Beethoven's Diabelli Variations, his adoption of Marx's distinction between 'formal' and 'character' variations and general comments concerning the structure of the model and the organization of the set.

Schoenberg's relation to Marx is also to be observed in Sonata and Rondo forms. In Sonata Form the most notable emphasis is on the role of the Transition and Retransition, areas not normally given such stress in discussions of form, most emphasis being on the development and coda.³⁶ However, Schoenberg gives Marx's remarks much more shape by the introduction of his own concept of liquidation for which Marx provides no real basis. As regards the structure of main themes, Schoenberg's emphasis on the term 'Gesangsthema' derives not from Marx but Riemann.³⁷ Although Riemann states that the term had long been in use, he represented Schoenberg's most likely source. Of the Rondo Forms, Schoenberg's inclusion of the 'Andante Forms', ABA, ABAB, points back to Marx's very mechanical 'Six types of Rondo Form' which fell out of use since they took no account of the character and relationship of sections

in assessing their 'form', as for example between simple ABA form, which is identical to ternary song form, and the most complex, which are sonata forms. Although Schoenberg elsewhere admits the confusion regarding ABA form, he still retains the category as a Rondo. However, despite the confusion with some of the higher Rondos, Marx does provide a clear outline of Sonata-Rondo form, in the section 'Das Sonatenartige-Rondo'³⁸, which leads one to question Schoenberg's remark "Who introduced this useful term?" (FMC 190).

The most interesting form in this connection is that described by Schoenberg as Great Sonata Rondo Form. (FMC. 197) Although Marx refers to 'Great' as opposed to 'Small' rondos, he never uses this particular term and nor does Riemann or, apparently, anyone else. Since Schoenberg provides only one example, that of the finale of Beethoven's Piano Sonata op. 22 which draws no comparable attention from Riemann in his detailed analysis of the work, it must be attributed to Schoenberg's youthful enthusiasm for formal imitation. Not only did he create from Beethoven's model a much more defined form of his own for use in his Presto in C, but frequently used it as a model for his Californian students. (SI 389)

SECTION FOUR

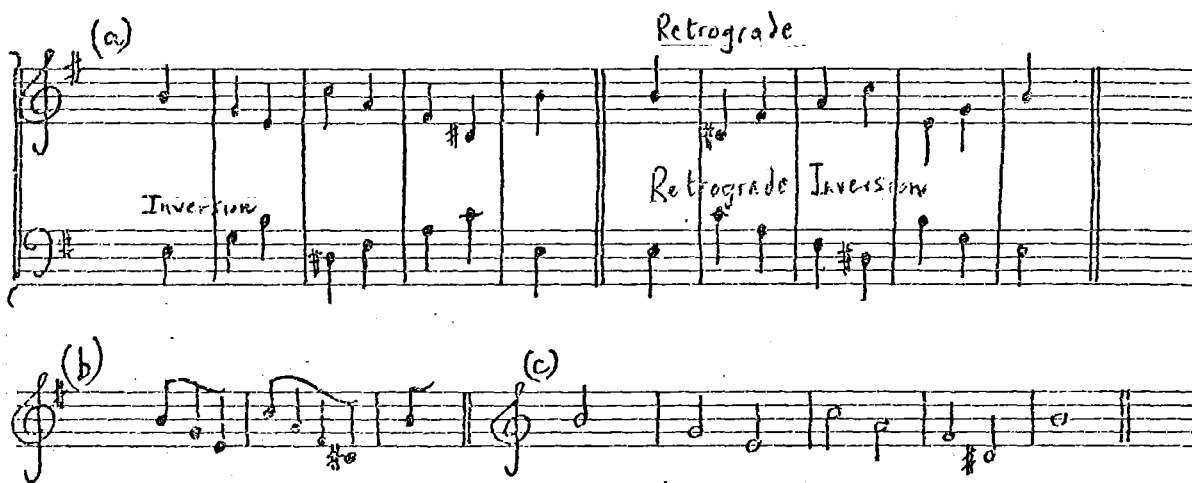
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FORMAL RELATIONSHIPS IN BRAHMS

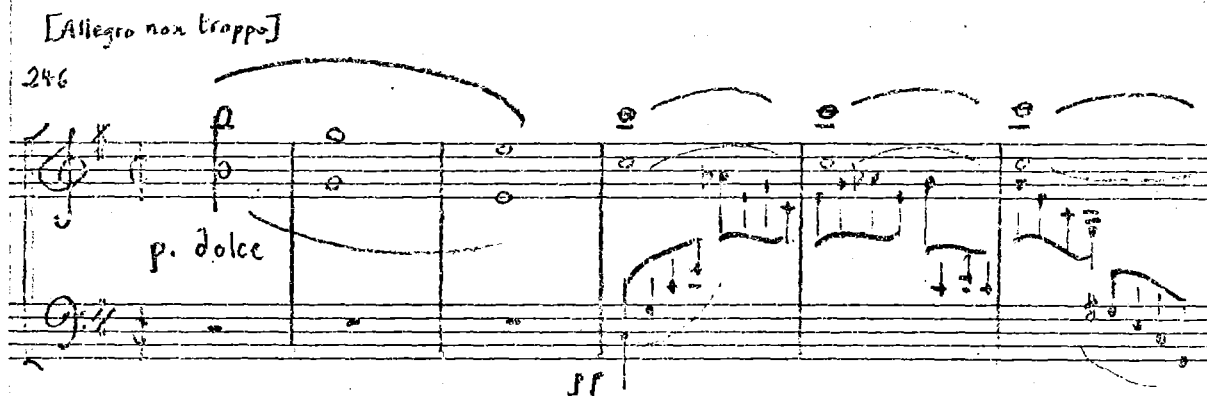
Of the two aspects of Formal Relationships identified in Schoenberg's writings, his interest in Brahms seems to have been primarily associated with his methods of unification. Indeed, of the various omissions from Schoenberg's published writings, none is as regrettable for present purposes as the lack of information concerning his organic view of form; certain passing comments suggest that Brahms was a composer by whom he was very deeply impressed in this regard. Given the importance of organic unity to Schoenberg, both as theorist and as composer, the extent to which his own attitudes were shaped by the study of his predecessor is obviously a subject of immense interest. All the qualities he observed in Brahms could well be descriptive of his own approach. Thus, he stresses Brahms's "responsibility to his

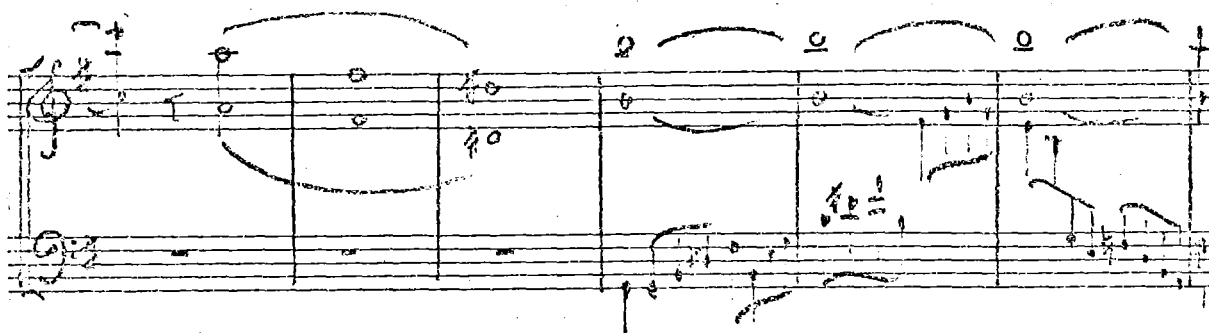
materials"., shown in his capacity for pursuing "the remotest consequences of an idea" and conceiving an "entire work in one single creative moment and {acting} correspondingly" (SI 405). Even Schoenberg's insight into the methods of Beethoven and Wagner did not draw a comparable emphasis from him in this context. Although Schoenberg never presented a systematic illustration of his ideas on methods of unification, certain examples which clearly relate to the preceding comments on the role of the basic shape may be drawn from his remarks on Brahms and Beethoven. Other Brahms examples serve, further, to clarify some broader considerations previously touched upon. Of his illustrations of the role of a recurring motive, one from Brahms provides an appropriate point of departure, by virtue of Schoenberg's modification of it in order to demonstrate a principle.

In his discussion of the motive in FMC, Schoenberg identifies the Exact repetitions of the opening motive of Brahms's Fourth Symphony op. 98 (FMC 11); although he uses the term motive, however, the example, like those which precede it, is equally open to interpretation as a phrase, thus confirming the flexibility of his usage. In fact, Schoenberg's concern is not with its grammatical function, but with its organic role, as a shape which recurs:



Schoenberg does not clarify whether he is considering the possible strict derivatives of this idea or actually to be quoting from the score. If the latter, then he quotes incorrectly, since not all his examples are to be found. Only two of them relate really closely to Brahms's score. The most obvious is Example (c), the augmentation, which appears at the recapitulation of the first movement. Although Brahms in fact divides the example into two phrases of four notes, with a pause on the fourth and last notes, the principle of derivation is clear:



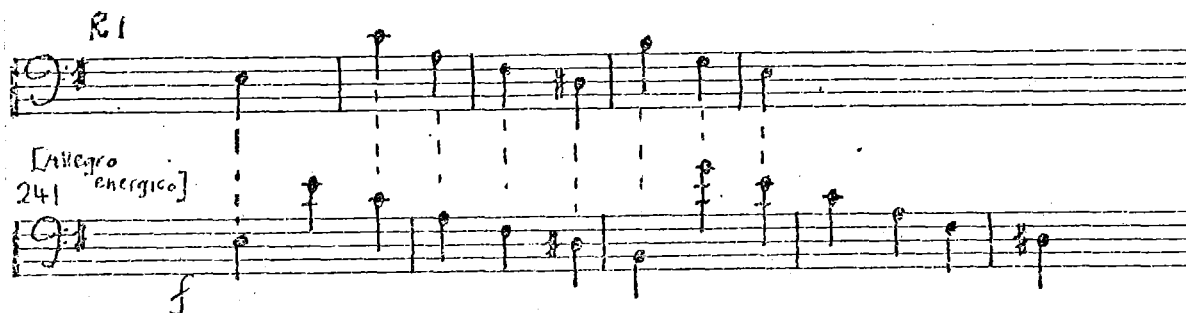


Slightly less obvious is the role of the inversion (a).

Schoenberg's analysis of the first subject, already discussed in connection with its dependence upon the interval of the third, points out that the consequent of the opening sentence inverts the direction of the antecedent. However, the pitch classes of his inversion are not reproduced exactly in his inverted form of the antecedent, which also omits the octave displacements of the original:



Brahms shows similar independence of Schoenberg's retrograde inversion. Whilst Brahms employs a very similar shape in the finale, he begins with an octave displacement and extends the shape further downwards:



Finally, Schoenberg's diminution, Example (b), is only very generally reproduced by Brahms, most notably in the first movement (bar 227 et seq), although its relationship to the original is clearly confirmed in its function as a re-transition to the first subject at the recapitulation:



Although these examples modify Brahms's actual methods, the fact that Schoenberg could apparently regard them as implicit in his working processes stresses the extent of his interest. Even though these examples are obviously influenced by serial

thought and were probably conceived in the serial period, Schoenberg may well have been struck by the tendencies of this work in his youth. It is to be regretted that he did not further clarify the extent of his awareness of this feature, which is very strong in Brahms. Quite apart from the manifold shapes and connections to be found throughout op. 98, the principles which he illustrates are strong elsewhere, especially as regards the inverted form of the motive. Many examples suggest that the original and inverted forms were virtually equivalent in Brahms's thought, as, for example, in the opening themes of the fourth movement of the Requiem op. 45, and third movement of the First Symphony op. 68, or, with the slightest variants, the treatments of the first repetitions of the principal subject of op. 68 or second subject of the Third Symphony - op. 90. Numerous comparable and less overt examples serve to reveal the seeds of the Grundgestalt in the first, serial, sense in Brahms's music.

Whilst one of the Beethoven examples also reflects serial thought in the manipulation of a basic motive, appearing in an article on serial composition, (SI 221), it does not involve exact repetitions comparable with those he identifies in Brahms; nor is the scope of application as wide. Schoenberg demonstrates how the opening motive of Beethoven's String Quartet op. 135 'Muss es sein' produces, by inversion, the antecedent of the first subject. This, in turn, produces, by retrogression and

further, free inversion, the skeleton which he fills to account for the consequent. Whilst he does not speak in terms of shape, the association of this example with the Grundgestalt is obvious:

Beethoven, String Quartet, Op. 135, 4th movement

Introduction

Grave

Muss es sein?

Allegro

Es muss sein! Es muss sein!

Vln. 1

Vln. 2

Vla.

Vlc.

Head-motive

etc.

a)

b)

c)

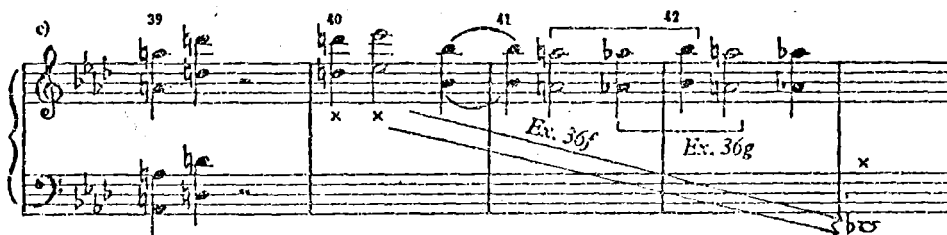
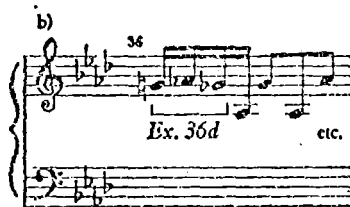
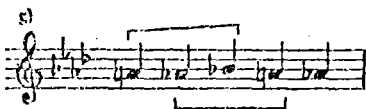
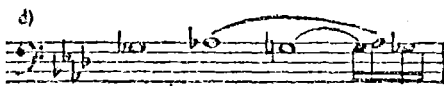
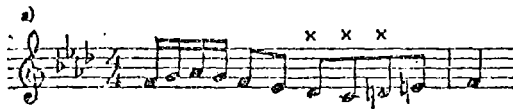
d)

e1)

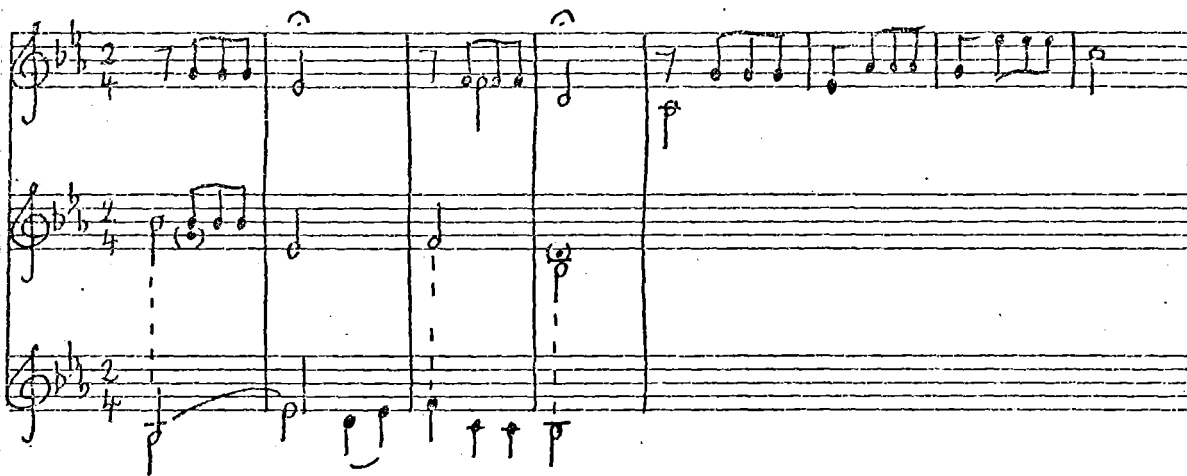
e2)

The musical score is for Beethoven's String Quartet, Op. 135, 4th movement. It begins with an Introduction in a Grave tempo, featuring a vocal line with the text 'Muss es sein?' and an instrumental 'Head-motive' for the strings. The main movement is in an Allegro tempo and features the vocal line 'Es muss sein! Es muss sein!'. The score includes staves for Violin 1, Violin 2, Viola, and Violoncello. Below the main score, there are five numbered examples (a-e) showing different ways to invert the 'Head-motive'. Example a) shows a simple inversion. Example b) shows a more complex inversion with a slur. Example c) shows a further development of the inversion. Example d) shows a variation of the inversion. Example e1) and e2) show further variations of the inversion.

A three-note figure from the antecedent of the first subject of the String Quartet op. 95 serves, in 'Brahms the Progressive', to demonstrate similar economy within a theme (SI 424). Here this figure produces, by comparable processes of retrogression and transposition, a subsidiary part of the first subject:



Schoenberg's most far-reaching Beethoven example reveals the relationship of the first to the second subject in the first movement of Beethoven's Fifth Symphony op. 67, by extension of an interval in one direction, octave displacement and in-filling (SI 164):



Schoenberg actually describes these variants as appearing through the process of developing variation. In fact they can better be described as variants of a basic shape in that they preserve the general shape rather than producing developed variants of the original, considered in Schoenberg's terms. However, since they are not exact repetitions, they belong to a lesser class than those forementioned; indeed, the derivation of the third variant is very free in these terms.

The significance of Brahms's methods of unification to Schoenberg may further be observed through an example of the ways in which an idea is, in his terminology, 'foreseen' in a theme;

indeed, it seems revealing of his interest that he ignored the most obvious examples of motivic recurrence, such as the role of the 'motto' in Brahms's op. 90, in favour of an obscure, though very convincing, example from the Scherzo of the String Sextet op. 36.

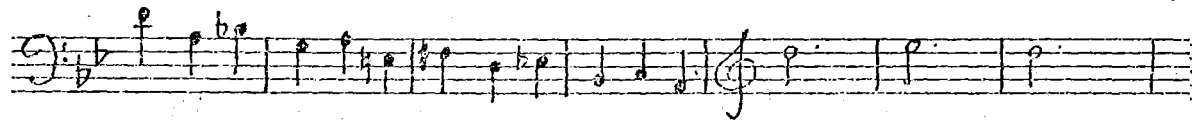
"The Scherzopresents an extraordinary example of mediation between two apparently heterogenous themes. In m. 227, twenty-four measures before the repetition of the scherzo in 2/4, a segment of eight measures appears, whose foresentence is a reduction of the preceding measures, which conclude the recapitulation of the trio.

[Presto giocoso]



The analysis shows the derivation of m. 5-8 from the trio melody; while m. 1-4 distinctly prepare for the first phrase of the scherzo. Moreover construction of m. 1-4, in twos and fours, may be considered a preparation for the return of 2/4. The passage ends in a written-out ritardando, using the first notes of the ensuing Scherzo". (FMC 157)

Whilst the internal relations of the Trio are clear, however, Schoenberg does not fully clarify the nature of the "mediation" between the themes of the Scherzo and Trio. Brahms is able to conclude the Trio with the first three notes of the Scherzo because they are anticipated in the preceding bars:



However, this relationship is at a variance with the rhythmic factors identified by Schoenberg as a means of anticipation. Even supposing that one hears the passage in the hemiola pattern which he suggests, which is doubtful at the one-in-a-bar tempo, the groupings outline falling thirds and fourths, not rising seconds.

An example of a similar nature may be interpolated at this point as possibly deriving from Schoenberg himself. Not only is it given by Rufer³⁹ in a passage heavily dependent on Schoenberg for other examples, but it comes from Brahms's string Quartet op. 51/2, to whose slow movement Schoenberg devoted so much attention.

Rufer shows how the second subject is anticipated in the first:



Of the less obvious aspects of the role of the basic shape within a work, Schoenberg makes an isolated, though notable, reference to the relation of the 'motto' of Brahms's op. 90 to its tonal structure, in the context of the importance of unity in the planning of modulation in TH. Here he points to Brahms's use of A major for his secondary key area "not because one 'can introduce' the second theme just as well in the key of the mediant. It is rather the consequence of a principal motive, of the bass melody (harmonic connection!) f-a flat (third and fourth measures), whose many repetitions, derivations, and variations finally make it necessary, as a temporary high point, for the progression f-a flat to expand to the progression f-a (F the initial key, A the key of the second theme). Thus, the basic motive is given by the initial key and the key of the second theme." (TH 164)



Although the process governing the relationship which Schoenberg observes here is clear, it is to be noted that he does not actually explain how the note A flat begets a key area a semitone higher. His comments suggest that he would have grasped any explanation in order to justify the unity he sensed:

"{Our logic} cannot imagine that there are causes without effects. Consequently, it wants to see effects from every cause, and in its works of art it arranges the causes in such a way that the effects visibly proceed from them" (TH 164). In this case Schoenberg may well have taken the cause for granted - the tension between A flat and A natural in the first subject, finally resolving in favour of the latter.

The case is made rather more convincingly for the finale by Alan Walker, though without any reference to Schoenberg's remarks. "{The} last movement has the following key scheme in its exposition F minor - A flat - F minor - C."⁴⁰ The inclusion of the final note C is, however, forced. The basic motive only employs F-A flat - F; the note C is part of the descending first subject, in the major mode. While these points are certainly interesting, the case can surely be as well argued on grounds of the juxtaposition of major and minor triads on F, which produce F major and minor, A flat major and minor, A major and minor and C major and minor.

The case for 'thematic key relationships', to borrow Reti's term,⁴¹ becomes much stronger if one can observe significant key relationships as emanating from themes which exploit particular intervals or are characterized by one individual interval, significantly placed. A case can be made in op.98 for a relationship between the falling third, the role of which has been shown in the first subjects of the first and second movements, and the tonal scheme of the work, whose limitation is itself striking: E minor - E major - C major - E minor, with a particular exploitation of the pattern at the end of the slow movement:

113 (Andante moderato) etc

In the Second Symphony op. 73, a case might be made for the influence of the semitone, prominent in the main themes of the work, as prompting the tonal irregularities of the third movement, which recapitulates a semitone below the tonic. However, there are no other significant irregularities to support this view. Reti, who devotes considerable attention to this subject, though without reference to Schoenberg, ignores this possibility, rather taking the F sharp of bar 2 as justification for the "dominating pitch of the second movement".⁴² However, this F sharp is not part of the basic motive (a), but part of a second distinct element of the first subject, (b):

Allegro non troppo

A related topic, the recurrence of a single pitch in different movements, is also emphasized in relation to Brahms, though again through an isolated example. Schoenberg's reference to the recurrence of F sharp in all four movements of the 'Cello Sonata op. 99' suggests that the use of this unusual key for the second movement of a work in F major is explained by the fact that "F major and F minor are contrastingly connected with F sharp (G flat) major and F sharp minor in all four movements" (SFH 73). While Schoenberg does not elaborate this point, which, indeed, only arises in passing, the relations are very well worth stressing and may well have been taken further in Schoenberg's verbal analyses of Brahms's music and that of others. Hence, while roving, the harmony of the first half of the development section of the first movement relates most strongly to F sharp minor and uses its key signature, whilst the recapitulation of the finale is heralded by a genuine 'false reprise' in G flat major, moving through F sharp minor back to the tonic. In the second movement itself the relationship is even stronger, though in reverse, the central section being in F minor throughout. Only in the Scherzo is the relationship not prominent, F sharp or G flat only appearing in passing modulations, both in Scherzo and Trio.

In conclusion, reference must be made to Schoenberg's single example of the third area of long-term relationships,

the contrapuntal relationships between themes of different movements: namely, a passage from the finale of op. 98, already noted. Hence he states: "towards the end of the last movement ... {Brahms} unveils the relationship of the theme of the Passacaglia to the first movement. Transposed a fifth up, it is identical with the first eight notes of the main theme, and the theme of the passacaglia in its first half admits the contrapuntal combination with the descending thirds". (SI 405) It is not clear whether Schoenberg regarded the relationship as inherent, hence "unveiled" in the finale, or one of coincidence, the first part of the finale theme merely "admitting" contrapuntal combination with the descending thirds; if the former was the case, then we must regard the first subject as a derived counterpoint, since the passacaglia theme was borrowed from Bach.⁴³ Whilst, again, the lack of further discussion limits our view of Schoenberg's interest in the subject, which is of considerable significance in Brahms, the importance to Schoenberg of long-term contrapuntal combinations seems clear.



In contrast to the originality of the preceding discussion, Schoenberg's treatment of Formal Relationships in the second sense is of a markedly more conventional nature, mainly showing Brahms as part of a general tradition, though becoming more distinctive whenever matters of thematic treatment arise. Schoenberg's observations may be classed as of three kinds. In the first, and least interesting, class, he merely places examples from Brahms which are illustrative of a general feature under discussion; in the second, he cites examples which are illustrative of some peculiarity in Brahms's treatment of a particular form or aspect of a form. Finally, he describes techniques which are specific to Brahms, or very closely associated with him.

The first group of examples illustrates Brahms's treatment of the modulatory section and recapitulation of the Scherzo form and his use of the 'Gesangsthema' in Sonata Form. Schoenberg draws attention to the modulatory section of the Scherzo from the String Sextet op. 18 because it avoids the sequential treatment which he regards as highly characteristic of this part of the form and which his preceding examples from Beethoven copiously illustrate. "Here the contrast is produced by fluently passing through tonic minor and flat submediant major regions". (FMC 154):

(APPENDIX EXAMPLE 12)

The accuracy of this statement can, however, be questioned inasmuch as he ignores the stress placed on sub T from bars 18-20 as the main step to the dominant at 21-24. In contrast,

the modulatory passage of the Scherzo from the String Sextet op. 36 relies on sequence "distributed as a dialogue between upper and lower voices" (Ibid). Schoenberg's observations on the recapitulations identify a six bar extension in op. 18 "by repetition of a circumscribing figure while the harmony changes below it", while a "long ostinato around G" is noted in op. 36 at the same point. (FMC 156)

(APPENDIX EXAMPLE 13)

While these examples merely confirm the importance of extension in recapitulation as shown in the preceding Beethoven examples which he cites, his observation of a false recapitulation at bar 56 of op. 36 and introduction of the real recapitulation by "the very remote minor triad on F sharp" (sub I) is without parallel in his examples and very rare, deserving of inclusion with the examples of Group 2.

Although Schoenberg does not illustrate or compare his examples of the "Gesangsthema", his succession, from Mozart, Beethoven, Schubert and Brahms serves to reveal his view of Brahms's antecedents and, especially, Brahms's link to Schubert. The Brahms examples are from the String Quartet op. 51/2; the String Quartet op. 111 - 1; op. 73 - 1; op. 90 - 1. While the character of Brahms's themes is not in question, Schoenberg's general observation of the 'Gesangsthema' that it displays "looseness, which consists in disregarding almost all features except rhythmic ones" (FMC 184), is hardly true in the Brahms examples. Whilst the continuation of the op. 73 example is certainly free in its intervallic motive forms, cohesion ensured by the motive of the accompaniment, the other examples are all evolutionary and appear distinct from the preceding examples cited, to which the observation better applies.

Schoenberg's second group of examples is concerned with tonal irregularities in recapitulations, again in both Small and Large forms. Of Small Forms he cites the second movement of op. 51/2 and, of Large Forms, the third movement of op. 73 and first movement of the Piano Quintet op. 34. Although Schoenberg himself includes the first example in Large Forms, there is no justification for this according to his own criteria, and his remarks show his reservations about including ABA forms within the class of Rondo. In contrast, the third movement of op. 73 is a genuine alternating form, ABACA, an 'allegretto grazioso' with two trios.

In the op. 51/2 example, Schoenberg draws attention to the use of the flat submediant region (F) in place of the conventional tonic A, which is only reinstated at the 'a' section of the principal, ternary, section. (FMC 191)

(APPENDIX EXAMPLE 14)

Schoenberg focuses considerably more attention on the comparable point of the third movement of op. 73, which similarly restores the tonic at the 'a' point of the principal, ternary, section (Ibid).

(APPENDIX EXAMPLE 15)

Brahms's tonal variation, presenting the principal theme in F sharp rather than G (Sub T) is considerably more adventurous than in the preceding example and its treatment more varied than the brief transition which restores the tonic there, although Schoenberg does not make a direct comparison between them. As he observes, "the continuation is subtly modified to return through a chromatic third relation from the dominant of the

relative minor to the original level in m.207. In compensation for this remarkable change of region, the recapitulation remains close to the original version in other respects" (FMC 194); that is, the tonal variation includes no significant new thematic material and the proper recapitulation from 'a' is exact. Schoenberg ascribes Brahms's procedures to an extension of the methods used, for example, by Mozart (Symphony K.550 - I, 139 - 64) and Beethoven (String Quartet op 18/6 - IV 105 - 15) which "give the impression of a recapitulation 'in a wrong key', broken off to make way for the real recapitulation" by presenting "in the preceding retransition, anticipatory quotations of the material of a return theme". (Ibid) Whilst Brahms's procedure can obviously be seen as an extension of an earlier method, Schoenberg's particular illustrations are hardly clear. Neither are examples of 'false reprise' proper, but rather fragmentary statements of the first subject over roving harmony, which, though anticipatory, still appear developmental and, perhaps, retransitional in nature.

The example from op. 34 shows tonal variation in the recapitulation of a second rather than first subject. Here, while the chief subordinate theme is in C sharp minor relative to the tonic, F minor, the recapitulation is in F sharp minor, a semitone removed from the tonic. Although Schoenberg does not relate Brahms's procedure to his previous examples, the restoration of the tonic again occurs at the 'a' section of the ternary subject. Although Schoenberg states that other such departures can be found "especially after Beethoven", he gives no examples. (FMC 204. See also SFH 73)

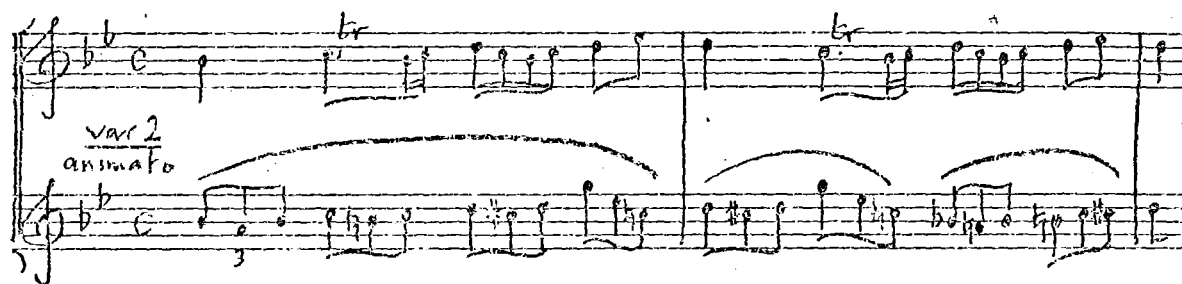
The third and most important, group of examples is concerned with Schoenberg's discussion of variation form, notably with the derivation of the motive of the variation and its application to

the skeleton, or skeletons, derived from the model. Whilst this discussion is not confined to Brahms's music, being equally devoted to that of Beethoven, Schoenberg's remarks certainly suggest that the concept received considerable definition from Brahms's methods.

Despite the brevity of Schoenberg's remarks concerning the processes by which Brahms and Beethoven derived their motives of variation, one may perhaps infer from his observations "Brahms derives substantially all the motives from features of the theme", (FMC 170), (a point which is not raised in connection with Beethoven), that he considered Brahms's thematic working the more intense. Indeed, his use of the term 'theme' when he means 'model', or, at least, melody and bass, seems to confirm this view of Brahms's thoroughness. In illustration of the above comment, he refers to the motive of the first variation (of the Handel Variations op. 24) as deriving "from the bass of the first measure, doubly diminished rhythmically", rather than from the melody, while "its rhythmical complement furnishes the accompaniment figure":

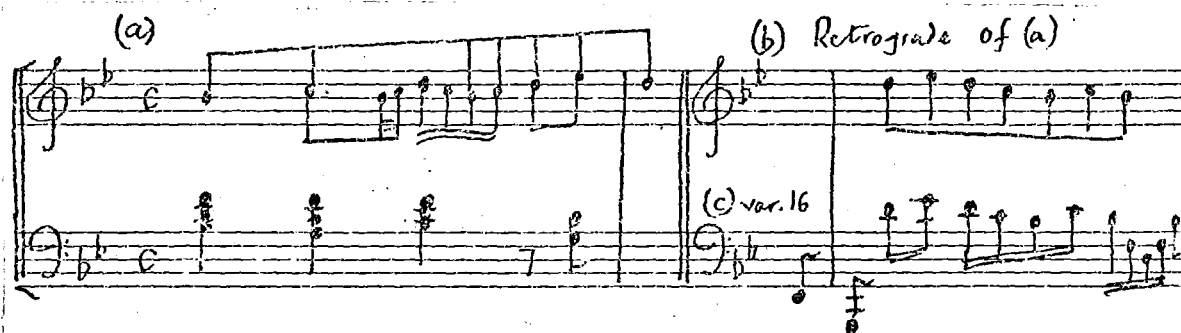
The image displays handwritten musical notation for the first variation of the Handel Variations, op. 24. The notation is in G major (one sharp) and common time (C). It consists of two systems of staves. The first system shows the melody in the treble clef and the bass line in the bass clef. The melody begins with a trill (tr) on the first measure. The second system continues the melody and bass line, with a 'poco f' marking in the bass line. The notation is handwritten and includes various musical symbols such as notes, rests, and accidentals.

Although he does not adapt his concept of motive of the accompaniment to this context, it obviously classes as a motivic variant according to his basic criteria and therefore provides further evidence of his stress on Brahms's economy. Whilst "the same three notes as triplets form the motive for the second variation",



a far larger part in the work is naturally played by the elements of the melody, notably the rising, falling and turning features of the first bar, derivatives presumably too obvious to require his illustration.

Although Schoenberg does not elaborate on the processes by which these motives are developed, suggesting only the most extreme derivation, that of var 16 by retrogression from a skeleton of the melody,



analysis of the intervening stages of complexity certainly supports his assertion concerning Brahms's resource. Hence, in addition to the basic processes of rhythmic and intervallic variation,

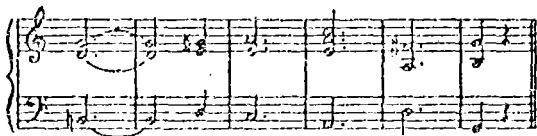
Brahms treats both motives by systematic processes of extension, decoration, by incorporation into broader shapes, by combinations of both within single lines and by contrapuntal addition; the latter, however, often reveals itself as combination rather than the addition of new voices, since they are generally motivically derived.

In stating that "substantially all the motives {are derived} from features of the theme" (Ibid), Schoenberg suggests the independence of certain variations, though he does not specify them. In fact, only the arpeggiatic variations Nos 11, 21 and 23 can be regarded as standing entirely free of the theme, whose scalar properties inform all the other variations.

If rare in the Brahms examples, not least at the outset, where Schoenberg regards the procedure as conventional, "variation around the principal tones" by scalar or arpeggiatic writing, is common in the Beethoven examples cited by Schoenberg from the 32 Variations in C minor and the Diabelli Variations. (FMC 169) Indeed, the stress which he lays on these examples and on the general principle of decoration of a skeleton throws doubt on the meaning of his concept. Clearly, the general decoration of a model by means of scales and arpeggios cannot be classed as motivic in the organic sense which Schoenberg stresses when he requires, in his first definition, that "a predetermined figure, modified no more than accommodation to harmony and structure requires" be derived "from the theme itself". (Ibid) Judged according to his criteria, the examples which he cites from Beethoven are in a much lower class of organic relationship than almost all of the Brahms examples.

In reality, his examples are more representative of the facts than his observations, since of the Diabelli Variations some (Nos. 11, 14, 16, 28) do not support his point but include motives derived directly from the melody rather than "more or less elaborate circumscription of the principal tones". (Ibid) There is a clear distinction between the decoration which is correctly quoted in Var. 2 and the procedures in vars 9 and 11 which derive not from elaboration, but directly from the model.

a) Beethoven, Diabelli Variations, Op. 120



b) Var. 2

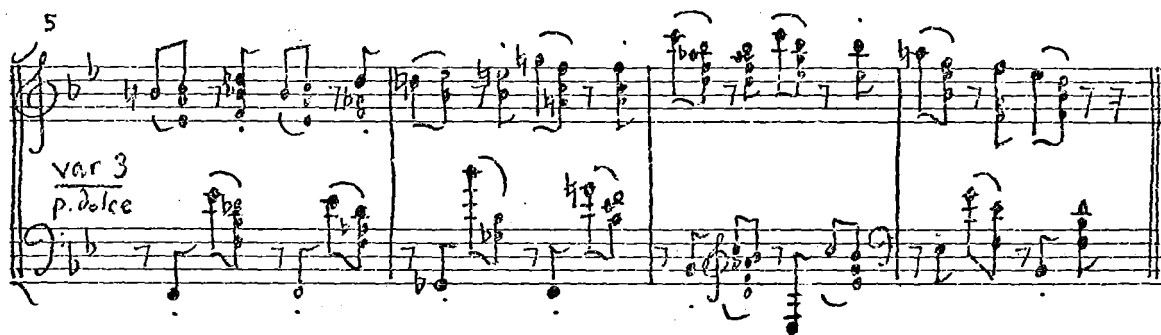
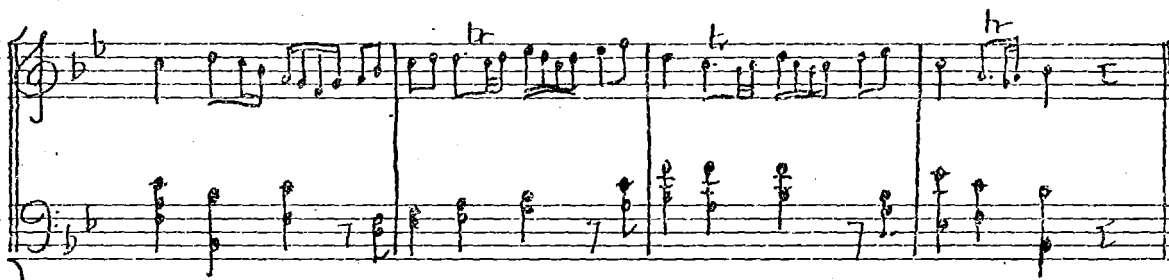
c) Var. 9

d) Var. 11



Even in his brief remarks, therefore, Schoenberg fails to reveal the organic nature of Beethoven's motivic technique, nor the range between the extremes presented in the sets discussed, still less to point to the crucial relationship which exists between Beethoven's most advanced examples and the methods of Brahms which were based directly upon them, particularly in op. 24.

If Schoenberg is attracted by the resource of Brahms's motivic derivations, he devotes even more attention to the resource with which Brahms treats his harmonic model. Nelson points to Schoenberg's reference to the fact that "the theme always shines to different sides",⁴⁴ meaning that varied features can be selected for emphasis within successive variations. The point is illustrated in FMC through reference to Brahms. Hence, in op. 24 "Brahms frequently produces new skeletons by changing the viewpoint as to which are the main features and which are subordinate. This enables him, for example, to consider m. 7 of var 3 as an upbeat to the cadential subdominant of m. 8, converting the I chord into the dominant of the subdominant". (FMC 171)



This statement is slightly inaccurate, however, since the subdominant appears at beat 3 of bar 7, not bar 8.

In the model, the tonic chord at Bar 7 completes the harmonic scheme, chords V and IV merely confirming it, whereas, in var 3, the tonic chord appears with a seventh, thus assuming dominant status in relation to the following subdominant chord which lasts until the third beat of bar 8. The reduction of harmonic change leads Schoenberg to comment further here that Brahms "similarly simplifies m.5 and 6 by omission of passing harmonies. This reduction to principal content, however, admits the contrary movement in var. 1 - the addition of passing harmonies (m.6) required by the imitations of the main voice" (Ibid).



Schoenberg's sensitivity to Brahms's structural methods is further illustrated in the following paragraphs: "In var. 2 Brahms ventures a far-reaching structural change, which is then applied in vars 5, 11, 20 as well. Half of m. 1 is repeated in m. 2, which reduces the significance of m. 2 to that of a mere interpolation between m. 1 and 3. Thus the second measure has been subordinated to the first to produce a two-measure phrase".



It seems appropriate to draw attention here to another reference by Schoenberg to this example. Nelson recalls Schoenberg's emphasis on the loosening of a theme's formal design, commenting of this example that "Brahms fulfils his obligation to the theme in the first part of the bar, and is thus freed for the rest of the bar"⁴⁵. However, Nelson's explanation is not entirely clear. In suggesting that "the main melodic tones of the theme (B flat, C, D) are completely outlined by the beginning of the third beat" (Ibid) he rather suggests that Brahms has compressed the structural outline or its essence into the opening bar before proceeding freely, whereas these notes are merely those of the original. He does not comment on the more striking point that Brahms still maintains the structural line into beats 1 and 2 of bar 2 despite the repetition and consequent harmonic variation of the model here. Nelson suggests that this loosening was of conscious significance to Schoenberg in his own variation methods, specifically in vars 2 and 5 of his own Serenade op 24 (Ibid).

The role of thematic elements in effecting a loosening of the

model finds its most striking illustration in further references in FMC to harmonic variations deriving from thematic stimuli. Thus: "Much of the harmonic variation in the Handel Variations derives from the melodic progression from the B flat of the first measure to the D in the third. Brahms converts this into a harmonic progression by transplanting it to the bass as a root progression: tonic-median. Thus the median in the third bar in variations 7, 9, 11, 14, 19, is utilized to lead to cadences on the dominant, or on the median (major or minor). In the minor variations (5, 6, 13) the third measures stand on the median major (d flat), and the cadences lead to V, 111 and V". (FMC172)

Schoenberg also notes some further harmonic variations, though he offers no comparable explanation of them. "In Variation 4 the third measure is V1, and in Variation 17 it is 1V (instead of 1 or 111)..... In the ninth variation, the B section begins on the dominant (F); but the written-out repetition begins on F sharp (in the meaning of G flat), establishing the closely related region of flat submedian major". (Ibid) It is to be noted that chord 111 does arise in Var. 4, as part of a sequential motion from 1 to V1 (1, 111, V, V1), thus anticipating its first appearance in bar 3, in var. 5. The striking Neapolitan movement in var. 9 may well be seen as complementing the equally striking movement to the major median in the first part, the flat submedian major and the major median being equidistant from B flat, both of Class 2. The Neapolitan

movement is further anticipated in vars. 3, 4 and 5. The use of chord IV for the main harmony of bar 3, rather than the closing upbeat, may be explained by the avoidance of this chord in the preceding bars, which reduce the skeleton to I-V only.

Viewed overall, Schoenberg's comments on Brahms' formal methods explore comparatively few areas which are not to be found in the writings of critics of his generation and earlier. As a major master of 'traditional' forms, Brahms's methods were - at least for the period, - well documented after his death, special emphasis being laid on his variation methods. Although the term 'motive of the variation' is not specifically employed, his skill in motivic matters and his relation to Beethoven is already outlined before Schoenberg, as well as in his period, notable specialists being Stanford,⁴⁶ Tovey⁴⁷ and Luithlen.⁴⁸

What these writers lack, however, is Schoenberg's deeper sense of organic unity, the feature already identified in connection with developing variation. The same is true of the process of modification of a harmonic model. Thus, whilst Tovey anticipates Schoenberg in pointing out the transposition of the bass of the theme up a third in op. 24, he does not stress its organic significance, a thematic feature becoming a harmonic feature.

It is this stress on organic relationships which sets Schoenberg apart in his use of the term 'form' in the first sense.

Whilst most writers pointed out the obvious examples of recurring material in Brahms, none saw the process at a depth which could help to formulate Schoenberg's concept of Grundgestalt. Similarly, though Reti suggests the concept of 'thematic key relationships', his examples from Brahms are unconvincing. Whilst Hadow could observe the 'irregularity' of Brahms's use of an F sharp major tonality in a work in F major,⁴⁹ it remained for Schoenberg to venture a structural explanation, based on a norm abstracted from other works. Although Riemann notes Brahms's use of canon in var. 31 of the finale of op. 98, he did not observe its deeper relation to the first movement.⁵⁰ Schoenberg's grasp of Brahms's methods of long-term unification was without parallel. As Walker rightly states of the latter relationship: "only Brahms could have written this, and only Schoenberg could have discovered it".⁵¹

PART TWO

SECTION FIVE

SCHOENBERG'S WRITINGS ON CONTRAPUNTAL RELATIONSHIPS

1

GENERAL CONCEPTS

Schoenberg's published writings on Contrapuntal Relationships can be considered in two categories, dealing respectively with the techniques of strict counterpoint and their applications to free composition. Virtually all the writings relate to the former category and are contained in one book, PEC, begun in 1942 and worked on intermittently until Schoenberg's death, having been preceded by several drafts over a long period.¹ As the title indicates, however, this book contains only the initial part of Schoenberg's theory of counterpoint, draft headings existing for the contents of two further projected volumes, reproduced in Appendix B, of PEC (224); the first was to deal with more advanced contrapuntal composition, including chorale prelude, fugue, double counterpoint and multiple counterpoint, the second with the role of 'counterpoint in homophonic music', including examples from J. S. Bach to Schoenberg himself. However, valuable light is thrown on these parts by Langlie,² whose work has not so far been published. Schoenberg's various articles in SI³ add no new dimensions to the forementioned materials, although they place valuable emphasis on certain points. Whilst the absence of these materials represents an immense loss - especially, for present purposes, the second volume, which would vastly have exceeded PEC in scope, it is possible to elaborate some of Schoenberg's draft headings further through reference to passing comments elsewhere in his writings.

In view of the very limited scope for the comparison of the strictly contrapuntal compositions of Brahms and Schoenberg, it seems unnecessary at this juncture to outline the contents of PEC; rather, some essential distinctions can be established preparatory to the more apposite discussion of his writings on the role of counterpoint in homophonic contexts.

The first two parts of Schoenberg's projected three-part scheme draw a clear distinction between Simple and Multiple Counterpoint, the latter term established as the basic title of the second part in Schoenberg's comments to Langlie,⁴ whereas it only appears as a subsidiary title in the earlier draft given as Appendix B in PEC. Simple Counterpoint is only concerned with the addition of successive parts to a given part, whereas multiple counterpoint is concerned with the changing of their mutual relationships. Whilst, in principle, both parts could be described as 'preliminary' to the application of strict techniques in a free context, Part 1 is particularly concerned to establish the foundations of part-writing, tonality, and modulation and therefore complements TH in approaching the same principles from the standpoint of counterpoint. Like the earlier work, its dominant feature is the systematic nature of its approach, through which Schoenberg encouraged the student to apply successive solutions to a given problem in order to discover the full range of possibilities. From this foundation Schoenberg turned to the much wider possibilities inherent in multiple counterpoint, the only published definition of which appears to that given by Langlie.

I quote it for the sake of completeness, rather than for its originality:

"If you define multiple counterpoint as a basic combination which allows shifting of the entrances and changing of the time values by multiplication or division, or - and - vertical transposition, the changing of the mutual relationship or position of two or more voices and the horizontal or vertical direction, or both, or their duration (by augmentation or diminution), multiple counterpoint allows changes of the mutual relation of two or more voices in various ways".⁵

As in other areas, Schoenberg's interest in the devices of strict counterpoint lay largely in their capacity for ensuring unity. Hence, he spoke to Langlie of canon as "a melody which can serve as its own accompaniment. There are ... polymorphous canons, which can serve themselves in a great number of ways as an accompaniment".⁶ Elsewhere he stressed the pre-eminence of fugue in this regard. "Fugue is a composition with the maximum self-sufficiency of content ... In its highest form, which may perhaps be a merely theoretical construction, nothing would claim a place in a fugue unless it were derived, at least indirectly, from the theme. To this extent - and also in many other ways - it also employs the principle of variation in the formulation of two or more forms of the theme (Dux and Comes), as also in the production of countersubjects and material for the episodes. But the theme's

everchanging 'way of accompanying' - through other parts, through transposition of invertible combinations, through the various types of canon, and also through harmonic reinterpretation - all this, too, is best regarded as variation. Here its way of thinking shows its identity, in comparison with the classical art of homophony where, again, new figures produced from a basic figure (Bilder) are welded into a whole in an effective way". (SI 297)

Schoenberg's distinction between contrapuntal and motivic variation led him to draw a clear line between degrees of independence in imitation. Hence, he outlines three classes of imitation, though he does not present them as such: namely strict, semi-strict and free.

Strict imitations repeat "every tone and interval in the same rhythm", using, if necessary "substitute tones to preserve the proper intervallic relationships". Semi-strict imitations repeat "only the rhythm exactly. These do not begin on the same tone as the original; and so in many cases they require the use of substitute tones to repeat the true size of the interval..." Free imitations change "intervals and sometimes the rhythm too". (PEC 155)

Schoenberg regarded his treatment of the role of 'counterpoint in homophonic music' as the most important and novel aspect of his teaching because, as he stated to Langlie "the rules in which I explain contrapuntal combinations have to do with art. Certainly multiple counterpoint should be taught so that one knows how to apply it to free composition. But this most do not teach. This is what I try to teach"; and, further, "this last volume, for which I made a good outline several years ago, will be something entirely new. At least, I know of no other book about that".⁷ It is, however, a natural consequence of the relationship he preserved between the techniques of strict counterpoint and free composition that details of the most important aspects should have remained almost unrecorded. In contrast to his valuable material concerning multiple counterpoint, Langlie merely outlines the general influence of Schoenberg's teaching of the most complex of contrapuntal forms, fugue, on compositional technique, citing no specific examples: "From the study of Fugue-writing, the student acquired instruction in part writing, necessary for choral, chamber and orchestral compositions, discipline of his mind in thinking of several lines simultaneously, allowing each one to have its own space in which to move without encroaching upon adjacent voices; practice for creating some individuality for each voice through diversity of rhythm between each voice. Experience in finding what a voice can and cannot do in order to be combinable and invertible. Besides these valuable tools, the student became acquainted with the contrapuntal devices of augmentation, ~~diminution~~ of the rhythmic values and the invention of fugue subjects in contrary motion and in retrograde."

Specific examples are also missing from the draft in PEC. Indeed, Schoenberg's ten points are conspicuous for ignoring the very features forementioned, consistent with his aim of showing how 'counterpoint in homophonic music' (after 1750) differs from 'Bachian Counterpoint', the latter forming the basis of Part 2. (PEC 224). In pursuing the distinction between contrapuntal variations and developing variation he naturally stresses the inevitable reduction in the contrapuntal complexity and the motivic relationship between a main and added voice. Thus he states at (5) that the "independent motions of accompanying voices often do not contain thematic material" and, at (6), that "animated subordinate voices {exist} with or without motival features or imitations". While he could hardly avoid illustrating the survival of contrapuntal techniques in entire "canonic forms or sections" (7) or "Fugatos" (8), the central question of the ways in which contrapuntal techniques permeated homophonic textures, involving no contrast or, as he states elsewhere "contradiction", is never pursued. Despite the fact that Schoenberg evaluated much homophonic music according to the contrapuntal complexity and thematicism of its accompanying parts, he employs no specific terms nor elaborates any details in the Draft. He merely mentions 'combination of two or three parts' in works by Beethoven, Brahms and Schoenberg, the significance of which is not clear, and the fact that "combination of superimposed themes (or phrases or motives) in homophony

does not serve in the same manner as double counterpoint in 8, 10 and 12 etc.," Although he again cites specific works, the Overture to Die Meistersinger and his own String Quartets opp. 7 and 10, the lack of further elaboration, and the manifest presence of double counterpoint in the latter works, leaves the ramifications of the point unclear.

One has to look elsewhere for evidence of Schoenberg's teaching concerning the role of counterpoint in homophonic music, namely to FMC. Here he establishes a distinction between semi and quasi counterpoint, to which one can add a further distinction with real counterpoint, discussed elsewhere as involving invertibility. Semi-counterpoint differs from real counterpoint in that "it is not based on combinations such as multiple counterpoint, canonic imitations etc, but only on a free melodic movement of one or more voices". (FMC 85) This "free melodic movement" is further defined elsewhere as involving the provision of "counter-melodies, repetition of imitative figures etc, which vary the accompaniment to the main voice". Although an obvious link exists between this technique and the strict, semi strict and free imitations outlined in Schoenberg's strict theory, it is not pursued. The various examples provided in FMC can best be elaborated in direct relationship to those of Brahms in Part Three. In contrast to semi-counterpoint, which has "motival and even thematic implications", quasi counterpoint is often "little more than a way of embellishing, melodising and vitalizing otherwise unimportant voices in the harmony". (Ibid) Although the term is not introduced at this juncture,

Schoenberg also refers elsewhere to rhabarber counterpoint,¹ that is "a kind of polyphony, substituting for counterpoint, which because of its inexact imitations, in former times would have been held in contempt as 'Kappellmeistermusik', that which, though "thematically meaningless", "sounded as if it had a real meaning". (SI 120)

Although Schoenberg does not draw out the relations, rhabarber and quasi counterpoint are obviously synonyms for the kind of 'counterpoint' which is neither thematic nor significantly imitative, but decorative. Three levels of contrapuntal accompaniment are therefore to be inferred from Schoenberg's writings. In the first place, real or strict counterpoint, involving invertibility and motivic relationship, semi-counterpoint, involving imitation and motivic relationship, without invertibility, and quasi counterpoint which is not contrapuntal in the above senses. Although obvious relations exist between the semi-strict imitations outlined in PEC and semi-counterpoint, Schoenberg does not pursue them. The various examples of the latter provided in FMC can best be elaborated in direct relation to the music of Brahms and Schoenberg.

In conclusion, attention must be drawn to a major omission from Schoenberg's draft, namely the role of counterpoint in variations. While frequently employing more extended examples of strict or semi-strict counterpoint than other forms of homophonic music, variation forms still belong within this class as discussed by Schoenberg. Although his comments on counterpoint in variations are very brief in comparison with his treatment of the motive of the variations in the chapter 'Theme and Variations' in FMC (172) he identifies a number of examples to show the application of strict techniques in a free context, whether of the most complex kind or simply the addition of successive part to a cantus firmus. Since no theory of counterpoint is presented, however, these examples are again best dealt with in direct relation to composers involved.

Despite their obvious links to traditional contrapuntal theory, Schoenberg's writings on counterpoint stand independent of those of his contemporaries and immediate predecessors, confirming the basic preoccupation noted in other areas. Whilst retaining the traditional approach of Species Counterpoint, as opposed to the new approach represented by, for example, Kurth,⁸ Schoenberg remained independent of both the traditional modal approach and that, based on tonality, which distinguishes between 'strict' and 'free' counterpoint. Schoenberg's stress on the major/minor system in his presentation of the five species was consistent with the view that the modes were irrelevant to the needs of the modern student, a view by no means entirely accepted in the period in which Schoenberg was formulating his theories. Stanford for example, still demands that the study of counterpoint should be based on modes in his treatise of 1911,⁹ though partly for acoustical reasons. Schoenberg's reaction to Bellermaun's Der Contrapunkt (1862),¹⁰ which he lists with numerous exclamation marks in a letter to Leichentritt (Letters, 207), may perhaps have been prompted by its renunciation of tonality in favour of the modes, since he seems to have respected the book in other regards. The distinction between strict and free

counterpoint, the former a preparation for the latter, is not observed in Schoenberg's text, since his comprehensive discussion of the possibilities of each species includes the working without a cantus firmus and the greater harmonic opportunities customarily introduced under 'free' counterpoint. The distinction between 'strict' and 'free' was of no real meaning to Schoenberg, whose preoccupations with counterpoint were ultimately of a different kind. Their nature becomes clearer if his comments on the one contemporary whose views - or, rather, supposed views - aroused his strongest response, namely Kurth. It is regrettable that Schoenberg's repeated attacks on Kurth are not based on Kurth's writings, which Schoenberg admits to knowing only by repute, but on the idea suggested to him by Kurth's term 'linear counterpoint'.¹¹

Schoenberg takes the term 'linear counterpoint' to imply "the conducting {of} each part independently", a procedure which he regards as unacceptable, both in principle and in relation to the term 'counterpoint'. Hence he states "linear polyphony" {apparently synonymous with counterpoint} ... is supposed to mean a plurality (multiplicity) of parts, in which the criterion of admissibility is no longer the sum total of the sound, but exclusively the individual line - that is to say the horizontal and no longer the vertical" (SI 295) "But has it occurred to Mr. Kurth and his followers that there must be some bond of cohesion between the number of parts intended to be heard simultaneously and meaningfully,

and that this bond can cohere in some direction other than the linear?"

(298). For Schoenberg, there is no such thing as a truly independent part in a contrapuntal situation, the concept, setting aside the semantic problem raised by the term 'point', which he acknowledges, (SI 289), is concerned not with line but with relationship.

"Linear counterpoint is a contradiction in terms, for counterpoint signifies the relationship of one 'point' (note) to (or against - 'contra') another point - that is to say, relationship in a direction other than that of line". (296)

This 'relationship' forms part of Schoenberg's broader theory of 'the idea'. Hence he states "whatever one's views about the pleasure that can lie in conducting each part in polyphony independently, melodiously and meaningfully, there is a higher level, and it is at this level that one finds the question which needs answering in order to arrive at the postulate": 'Whatever happens in a piece of music is nothing but the endless reshaping of a basic shape' (290) He summarises further:

1. In a contrapuntal piece, the idea is compressed in the form of a theme whose constituent elements, sounding together, form a kind of 'point of departure'.
2. This 'point of departure', this theme, contains all the possibilities for future redeployment of the elementary material.
3. In the course of the piece, new shapes born of redeployment (varied forms of the new theme, new ways for its elements to sound) are unfolded, rather as a film is unrolled. And the way the pictures follow each other (like the 'cutting' in a film), produces the 'form'.

If, then, a contrapuntal idea is based on a combination of several parts, what can there be about it that is linear". (290-1)

Although Schoenberg makes no direct reference to multiple counterpoint, in this context, his argument is clearly a defence of contrapuntal variation against the freer relations to be found in historical pastiche, essentially the tradition of Bach, Beethoven and Brahms, against the modernists who "built on Kurth ... chose ruins as their foundations", turning not to earlier forms, but "at the most, manners, styles", only the "tone" of traditional models. (292).

Schoenberg's brief criticism of Riemann is just as damning, though Riemann would seem to stand closer to Schoenberg's view of 'relationship'. It was the harmonically conditioned counterpoint taught by Riemann which most stimulated Kurth to the development of his contrasted approach.¹² Schoenberg criticizes Riemann for "adding 'ornaments' - passing notes and suspensions - to harmonic textures". (SI 297) Although Schoenberg gives no reference for his criticisms, all Riemann's writings on counterpoint, most notably the textbook,¹³ all stress the importance of a predetermined harmonic scheme in which the added counterpoint 'interprets' the harmonic potential of the cantus firmus. His system places great emphasis on the figuration of given harmonies as a necessary preliminary to genuine counterpoint. Schoenberg stands not only at an equal distance from both these emphases, but totally removed from them in his sense of the importance of the relationship of the constituent elements. It is to be regretted

that he made no comparable remarks on the views of the one contemporary who held the vertical and harmonic relationship in equal balance, namely Schenker.

SECTION FIVE

2

CONTRAPUNTAL RELATIONSHIPS IN BRAHMS

Fewer published references survive to Brahms's uses of counterpoint than to any other aspect of his methods in Schoenberg's writings. Although very significant observations would inevitably have appeared in the course of Schoenberg's discussions of multiple counterpoint and the role of counterpoint in homophonic music, the omission of the subject from 'Brahms the Progressive' requires explanation. The scope of Brahms's contrapuntal technique in both pure and applied contexts found few parallels in the late 19thC and, indeed, represented a major feature of the revival of instrumental music in which he played so conspicuous a part. No composer was, by nature and circumstances, more open to his example than Schoenberg. In view of the strength of the relationship, it is not impossible, therefore, that Schoenberg

omitted the subject from 'Brahms the Progressive' in the belief that it could be taken for granted in an article seeking rather to emphasize Brahms's status as an innovator. In contrast, Schoenberg's views on Brahms's role in the thematic and harmonic spheres were much more relevant because less frequently stressed.

Though brief, specific acknowledgements of Schoenberg's interest in Brahms's uses of strict counterpoint are to be found elsewhere. Thus, in the article Heart and Brain in Music, Schoenberg stresses the extent of Brahms's preoccupation with counterpoint and its influence on him: "Having been educated in the sphere of Brahms's influence ... like many others I followed his example. 'When I do not feel like composing, I write some counterpoint'" (SI 67) Not merely was Schoenberg impressed by Brahms's interest in counterpoint, but by the rigour of his approach. Langlie notes that Schoenberg used to refer to the systematic initial work covered in PEC as "Brahms's mental gymnastics,¹⁴, stressing elsewhere that they were certainly not of an easy-going sort". (SI 67) Thus he draws particular attention to Brahms's approach to canonic writing, stressing his advice that "canons should be strict" and emphasizing the complexity of the 'enigmatic canons' with which Brahms frequently entertained friends. (PEC 166 - 7) Although Schoenberg seems to ascribe his own subsequent attempts to produce complex canons to the stimulus of Brahms's example (SI 67), he does not specify particular models; indeed, he laments the fact that Brahms destroyed so many of his contrapuntal workings. Since the majority of Brahms's most complex canons only came to light with the Complete Edition in 1926 - 8,¹⁵ the 13 Kanons, op. 113 being almost

entirely of a very simple nature, there is no real basis for a discussion of Brahms's direct influence. Schoenberg, similarly, makes no direct reference to Brahms's fugues. Although Brahms was active in this field, only three strict fugues appear in the Complete Edition, two published posthumously, and are early, didactic works, again offering no significant basis for comparison.¹⁶ Brahms's other published fugues all employ strict devices within free contexts, as for, example, those of the Requiem op. 45.

Schoenberg's published comments on Brahms's use of counterpoint in free contexts are also very limited. His only systematic discussion is of 'counterpoint in variations' in FMC (172) which though very important in Brahms's output in this form is less significant overall than in his freer forms and more obvious in nature. However, against, the background of his three classes of contrapuntal accompaniment, Schoenberg's general points in the article 'National Music' assume great definition. He claims that he learnt from Brahms "plasticity in moulding figures; not to be mean, not to stint myself when clarity demands more space; {the capacity for} carrying out each figure to the very end {to produce} economy, yet richness" (SI 174) Langlie's remarks show that the capacity to avoid being cramped related particularly to the use of contrapuntal style in accompaniments and the reference to "carrying out each figure to the end" has obvious connection with Brahms's remarkable capacity for achieving strict rather than free imitations in this context; this capacity was surely only rivalled by Mozart, a point perhaps acknowledged in the relationship which Schoenberg draws between them in this source. (Ibid)

Schoenberg's reference to Brahms's "richness, yet economy" though capable of various interpretations, can certainly be related to the contrapuntal texture of his music, which is frequently invertible, creating the maximum variety from the minimum of material. Since Brahms's music frequently displays features identified by Schoenberg as belonging to the first class of contrapuntal application within homophonic music, whether in accompaniments or the entire score, his direct influence on Schoenberg in the formulation of these distinctions requires no further stressing.

Schoenberg's more detailed comments on Brahms's uses of counterpoint in variations place special emphasis on his position as a successor to Beethoven, ignoring detailed comparison with Bach. His remarks suggest two levels in the employment of counterpoint, namely: the addition of "one or more voices to a basic scheme", that is, the theme and its bass, and variations" of a higher order,... which display combinative counterpoint". (FMC 172) The first bears obvious relation to the species counterpoint of PEC in "adding one or more voices to a 'cantus firmus', the second to multiple counterpoint. Schoenberg illustrates the additional principle through reference to Beethoven's 32 Variations in C Minor in which "most of the variations consist in adding one or more voices to the basic scheme, this being "similar to the passacaglias of Bach and Brahms and the ostinato finale of Brahms's Haydn Variations op. 73." (Ibid)

Schoenberg's interesting distinction between the "ostinato finale of the Haydn Variations" and the other passacaglias draws attention to the fact that the additional principle operates throughout this movement, which is not the case with the other Brahms passacaglias, nor indeed with Beethoven's 32 Variations in C minor. Schoenberg mentions elsewhere the second subject of the finale of Brahms's First Symphony op. 68 as an example of the additional principle, not otherwise to be found in free movements (FMC 85).

For examples of Combinative counterpoint, Schoenberg draws from Beethoven's 32 Variations in C minor, Diabelli Variations and Brahms's Handel Variations op. 24 and Haydn Variations op. 56A. Although, by outlining the contrapuntal features of each work, he identifies common elements, such as fugue, canon, double counterpoint, imitation (strict and free), these features are not directly compared nor illustrated in detail. Schoenberg's particular admiration for Brahms's contrapuntal technique is clear in his reference to vars 4 and 8 as providing particular illustration of "contrapuntal artistry", var 4 consisting of "double, or rather triple, counterpoint at the octave and twelfth", var 8 of "a complex of mirror forms in multiple counterpoint", (FMC 173). Although neither is discussed further, Schoenberg's reference to the counterpoint in var 4 indicates that the third voice is not always observed, the counterpoint generally regarded as double. This part, the pizzicato bass, is actually the first to be inverted, in bar 6, although it is never inverted at the twelfth.

(APPENDIX EXAMPLE 16)

The limited scope of Schoenberg's writings make it difficult to relate his attitudes to Brahms's contrapuntal methods to those of other theorists. Brahms's contrapuntal skill was always one of the most stressed features of his art and references are to be found elsewhere not only to the most overt devices, such as the triple invertible counterpoint in op.56A , but also to some less obvious features. Tovey, for example, points out the imitation by inversion in the accompaniments of the second subjects of the outer movements of the Clarinet Trio op. 114, and even a canon cancrizans in the first movement of the String Quartet op. 51/2. If Schoenberg's examples are not distinguished by their originality, his emphasis on the strictness of Brahms's contrapuntal relationships is distinctive, and consistent with his stress on this feature in his general theory. Schoenberg regarded as the property of "a few initiates" what "these notes and note-progressions are, that could form a counterpoint.... which can be set in opposition and magically possess a relationship to each other that fulfils the principle of cohesive contrast" (SI 296-7) Although he boldly states elsewhere that they were known" since the Netherlanders ... to only J.S. Bach and myself" (288), it seems clear that he also regarded Brahms as one of the circle.

PART THREE

RELATIONSHIPS WITH BRAHMS IN SCHOENBERG'S EARLY WORKS

SECTION ONE

INTRODUCTION

SCHEMATIC OUTLINES OF THE THREE FOCAL WORKS:

STRING QUARTET IN D MAJOR (1897)

STRING SEXTET IN D MINOR 'VERKLARTE NACHT' (1899)

STRING QUARTET IN D MINOR (1905)

In moving from the examination of Schoenberg's writings to that of his own music, I feel it appropriate to clarify again the nature of my approach in the latter. It is not my aim to provide thorough analyses of the works under discussion, either in relation to Schoenberg's analyses of Brahms or in any other connection. Each work is of sufficient interest both in itself and in relation to the others to justify an independent study and I take it as read that many other parallels could be drawn or alternative interpretations of the given examples offered. Rather I seek to observe the kinds of ways in which the compositional features identified in Brahms by Schoenberg relate to his own music. In adopting these features as focal points for discussion I do not presume to retrace Schoenberg's compositional thought in response to Brahms; as has been stressed, his concepts only crystallised fully in his maturity, partly through compositional experience as well as before it, and the relationship must not be over-simplified. It is with the broader principles of the Brahmsian background to Schoenberg's early methods that I am concerned. Accordingly, although I do not hesitate to identify contacts which seem direct, I have as much interest in the independence of his methods; indeed, it is in observing the individuality of his response that the real point of the investigation lies.

Of the four areas to which discussion has been directed, the most fruitful for present purposes is that of thematic process and phrase structure. Despite Schoenberg's didactic interest in tonal and harmonic relationships, they do not permit as detailed a discussion in the present context and observation must needs be

of a more general nature. None the less, this area requires a thorough coverage, especially in helping to define the balance of Schoenberg's relationship to Brahms and Wagner. Of the other areas, contrapuntal rather than formal relationships claim the greatest attention.

In order to relate the themes discussed to their contexts and to indicate the main formal divisions, I append in the following pages brief schematic outlines of the three focal works, noting my chief sources in determining these of opp. 4 and 7.

The following conventions are employed:

Themes are indicated as follows:

1a, 1b etc., : First subject, first, second theme etc.,

Tr : Transition theme.

CG : Closing Group theme.

Additional brackets are employed in op 4 to distinguish between themes of the first and second 'movements'.

Tonalities are indicated by upper and lower case letters for major and minor respectively.

Bar Numbers in op. 4 and 7 are indicated by page, line and bar; eg. 6 - 4 - 2: page 6, line 4, bar 2.

D MAJOR QUARTET. (1897)

FIRST MOVEMENT

SONATA FORM

EXPOSITION

1 D 1a

13 b/p 1b

17 D Tr

39 B 11a

55 (B) 11b

79 B CG

DEVELOPMENT

97 - 166

RECAPITULATION

167 D 1a

181 e/D 1b/Tr

197 D 11a

213 (D) 11b

237 D CG

CODA

255 - 272

SECOND MOVEMENT

INTERMEZZO AND TRIO

INTERMEZZO

1 ff 1a

12 A 1b

22 ff 1a

TRIO

34 A 11a

46 A 11b

INTERMEZZO

Da Capo

CODA

66 - 76 ff

THIRD MOVEMENT

THEME AND VARIATIONS

1	bb	Theme	44	bb	Var 4
9	"	Var 1	54	bb	Var B
16	"	Var 2	63	bb	Var 5
29	"	Var 3	81	bb	Coda
37	"	Var A			

FOURTH MOVEMENT

SONATA RONDO FORM

TRANSITION

1-4 \flat B - D (V)

EXPOSITION

5 D 1a
13 (D) 1b
29 D Tr
55 a 11a
73 A 11b
83-92 Tr

DEVELOPMENT

93 - 144

RECAPITULATION

145 D 1a
153 D 1b

175 \flat 11a
193 D 11b

CODA

221 - 251

D MINOR SEXTET op. 4 (1899)

A continuous movement comprising two sonata-related movements, framed by an introduction, interlude and coda. (Schoenberg,¹ Wellesz,² Friedheim³).

INTRODUCTION

3-1-1	d	Introduction Theme 1
4-3-4	(d)	Introduction Theme 2

FIRST 'MOVEMENT'

<u>EXPOSITION:</u>	5-2-3	d	1a (1)
	7-1-1		Tr (1)
	7-1-5	b b	11a (1)
	8-2-2		11b (1)
	10-1-1		11c (1)
	13-1-1	E	111 (1)
<u>DEVELOPMENT (1) :</u>	16-1-1	to	22-2-2
<u>'RECAPITULATION' :</u>	22-2-3	d	(1a (1))

INTERLUDE

23-1-3	to	25-3-6
--------	----	--------

SECOND 'MOVEMENT'

<u>EXPOSITION :</u>	26-1-1	D	1a (2)
	26-3-2		Tr (2)
	27-3-2	# F	11a (2)
	32-2-2	b D	11b (2)
<u>DEVELOPMENT (2) :</u>	34-3-2	to	38-3-2
	39-1-1	b D	111 (2)
<u>'RECAPITULATION' :</u>	42-1-4	D	1a (2)

CODA

49-2-1	to	51-3-3
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D MINOR STRING QUARTET op. 7 (1905)

A continuous movement, inter-relating four movement-types of a traditional quartet (termed 'Parts' by Schoenberg): Sonata-Allegro, Scherzo and Trio, Slow Ternary, Rondo Finale. (Schoenberg,⁴ Wellesz,⁵ Friedheim⁶).

<u>PART ONE</u>			
<u>EXPOSITION</u> :	1a	3-1-1	d
	1b	4-2-1	b b
	1c	5-1-2	b b
(development)		5-2-4	-8-1-2 development
	Tr 1	8-1-3	14-3-1
	11a	14-3-2	b E
	11b	15-2-1	
		16-3-3	-18-4-1 elaboration
<u>DEVELOPMENT 1</u> :		18-4-2	-28-4-2

<u>PART TWO</u>			
<u>SCHERZO</u>	1a	28-4-3	b G
	Tr 2	34-2-5	-36-2-4
<u>TRIO</u> :		36-3-1	-40-4-4 E
	Tr 3	40-4-4	-42-1-6
		42-2-1	-46-3-2 development
<u>DEVELOPMENT 2</u>		46-3-3	-54-2-1
<u>RECAPITULATION 1</u>		53-2-2	-56-3-2

<u>PART THREE</u>			
<u>'A' SECTION</u>		56-3-3	-59-4-3 a
<u>'B' SECTION</u>		60-1-1	-62-3-2 E
		62-3-3	-65-2-2 development
		65-2-3	-66-4-3 transition
<u>RECAPITULATION 2</u>		66-1-3	-69-1-4

<u>PART FOUR</u>			
<u>RONDO SECTION:</u>	A	69-2-1	-70-3-1 A
	B	70-3-2	-72-2-2
	A	72-2-3	-72-4-5 A
	C	73-1-1	-77-1-3
	A	77-1-4	-78-2-5 A
<u>CODA</u>		78-3-1	-80-4-6 D

PART THREE

SECTION TWO

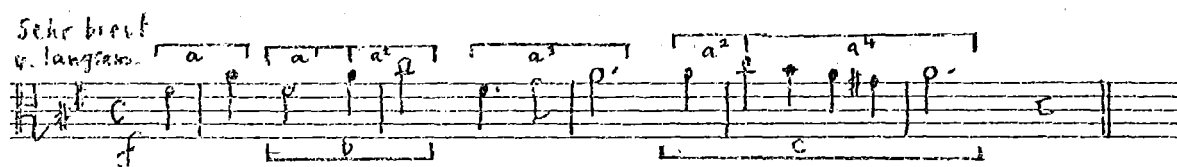
THEMATIC PROCESS AND PHRASE STRUCTURE

In seeking the links between the thematic processes of Schoenberg's early works and those of his predecessors, a natural starting point is provided by his comments on Verklärte Nacht, op. 4, the background of which he very readily acknowledged: "The thematic construction is based on Wagnerian 'model and sequence, above a roving harmony on the one hand, and on Brahms' technique of developing variation - as I call it - on the other. Also to Brahms must be ascribed the impurity of measures, as for instance, in measures 50-54, comprising five measures, or measures 320-327, comprising two and one-half measures(SI 80)."

The Brahms references are of particular value in relating a work of seemingly individual thematic character to its models. Given in relation to earlier, overtly Brahmsian works, such comments would have provided far less of a stimulus to further investigation.

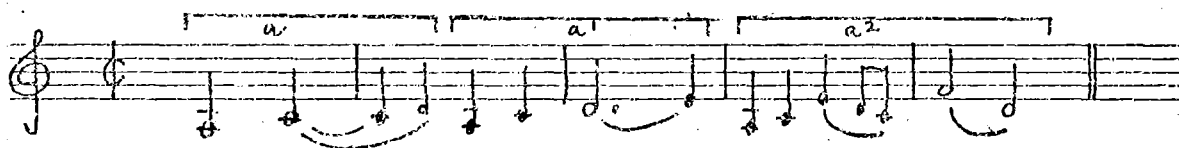
However, if Schoenberg - albeit writing towards the end of his life, in 1949, - recollected his thematic process in op. 4 as Brahmsian in origin, the themes provide no obvious confirmation of this view. Whilst their evolutionary character is certainly clear, none of the three types of motivic structure which emerge from Schoenberg's analyses is employed in any comparable sense; nor do any other features argue for specific models in Brahms. One observes the predominant use of basic motives with four to six notes rather than Brahms's single intervals or pairs, the intervallic characters of which are often more reminiscent of Wagner than of Brahms; also prominent is an individual thematic plan, used in two of the

main themes of the first movement, involving the literal repetition of the first motive followed by continuous evolution, a pattern finding no obvious parallels in Brahms's sonata-themes. Only in one case can a relationship with Brahms's examples as analysed by Schoenberg be suggested, and here only tentatively; namely, in the first part of Theme 1a(2):



This may be seen as relating to the first type of treatment noted in employing successive forms of a basic motive consisting of a single interval, by extension, filling-in and transposition. Whilst considerably less obvious than the first subject of Cello Sonata op. 38 - 1 (see page 122) both in its rhythmic variation and use of decoration, the basic principle of varied repetition predominantly at the original pitch and involving the displacement of accent may be seen as common. Whilst Schoenberg does not draw attention to the displacement in the op. 38 example, the feature is significant in many of the Brahms examples and is a major feature of his style, arising as a natural consequence of the varied repetition of small motives.

That the process of Theme (1a)(1) may have had a direct origin in Schoenberg's previous methods can be suggested through references to a much earlier theme, that of a discarded Symphony. Schoenberg quotes this as having been written "quite a number of years" before the D major Quartet when "Beethoven Mozart and Dvorak" were his models:¹



Although the basic motive (a) comprises two intervals rather than one, the successive use of motive-forms at the same pitch involving extension and accentual displacement again seems discernible; the use of decoration in the final form also relates to the preceding example.

Schoenberg's use of a three-note, rather than two-note motive in this theme attracts interest in view of the greater intervallic content of his later themes relative to those he identified in Brahms. Indeed, it provides a link to a possible consequence of the use of the first type of developing variation in op. 4, namely: its application to complete phrases rather than simply motives. Theme III(2) applies the principle to a basic phrase comprising five intervals, which is successively varied rhythmically and by extension, producing accentual displacement in the second phrase, though not in the third.:

It was beneath 1 2

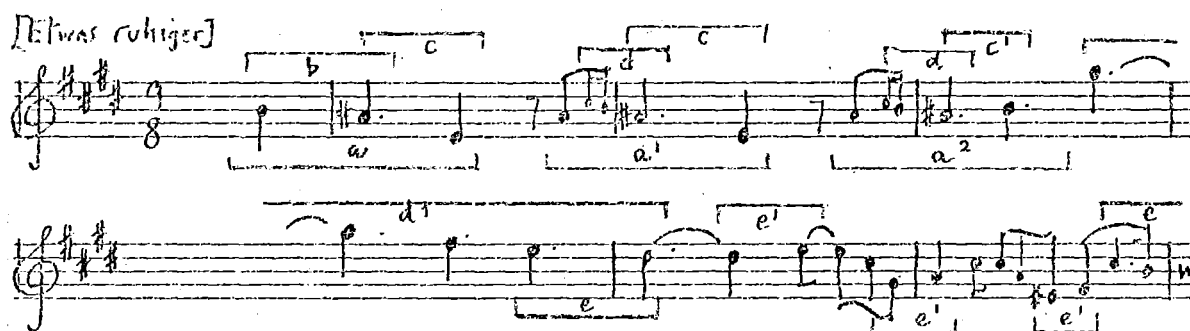
The use of decoration in the second phrase is of interest.

Although this phrase seems to represent a local variant of the first, the variant has considerable effect on the further development.

Hence, the figure A flat - G in (a¹) which decorates the G flat of the first phrase is transposed twice in the third phrase, this pattern providing the basis of the following sequence of motive-forms. The use of the opening phrase as a coda after continuous evolution is unusual and finds a parallel in the first theme of Brahms's Violin Sonata op. 78-11, whose "remarkable ... refrain-like recurrence" has already been noted by Schoenberg. (See page

150).

Whilst not of comparable accentual or motivic interest, a similar procedure is apparent in Theme III(1), though here the phrases are of only three notes. Hence (a^1) decorates the first interval of (a), whilst (a^2) changes the retained element (c) to (c^1). The latter form may be seen as extended by the use of (d) in augmentation and extension, its subsequent evolution dominated by the closing interval (e):



However, the process of Type 1 has no further significant application, either between or within phrases. Of much greater prominence is the role within phrases of the characteristics of Type 2, which adds transposition and inversion to the possible methods of motivic treatment. Once again, Theme III(2) is of interest, being built on the basic interval of the fourth, transposed and extended downwards by step. This is one of the themes whose "impairity of measures" Schoenberg's notes as deriving from Brahms in the remarks quoted earlier. However, he does not apparently ascribe it to the effect of developing variation. Yet it is clear that this "impairity" arises directly from the

motivic development: namely, the extension of the second fourth through the addition of (b) to create a phrase of two-and-a-half bars, thus displacing the accentual position of the repetition. This notable feature is highly characteristic of Schoenberg's Brahms examples, especially of the op. 121/3 theme, where the extension (albeit of the inverted motive) effects a memorable shift of accent from the first to the second beat in triple metre in bars 3-4 (See page 128). Schoenberg's seeming disregard for the relation of cause and effect in considering Theme 111(2) confirms the trend noted in other contexts in Part Two; it is also interesting to note his use of the term "imparity" in relation to uneven phrase lengths, rather than asymmetry of phrase relationship, the first and second phrases being of equal length.

The characteristics of Type 2 are evident in a more flexible way in Theme 11(b)(2), where transposition also involves rhythmic variation of the model prior to extension, thus further relating to precedents already noted. This theme uses a three rather than two-note motive, and its flow of forms, taken with their variety, effectively obscures Schoenberg's working methods. Schoenberg noted this theme as an example of the "Schoenbergian elements to be found in the length of some of the melodies" (SI 81):

Innig, sehr zart
u. weich

As with the previous example, the length is the result of direct repetition and the use of sequence which, in relation to a motivic structure of considerable subtlety, perhaps offers an indication of the kind of synthesis which Schoenberg created from the methods of Brahms and Wagner.

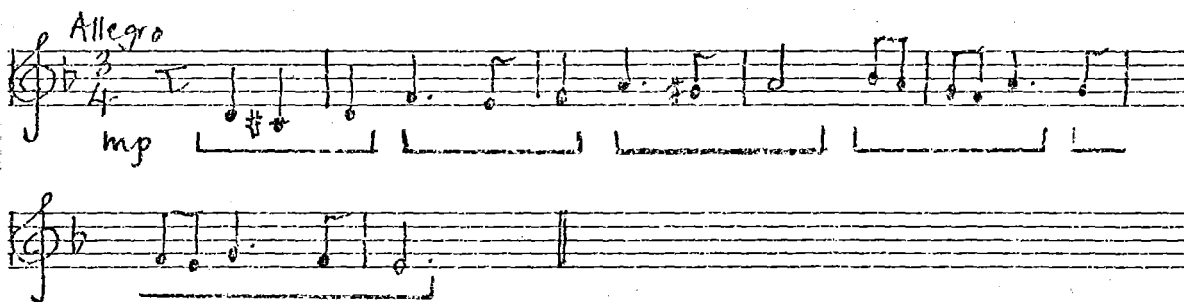
The only other theme in op. 4 which suggests a three-note motivic structure is Introduction Theme 1, one of more obvious, repetitive structure than the others, consistent with its programmatic function:

sehr langsam

Here the motive is transposed downwards to create a scalar descent from the flat sixth degree to the tonic, which is immediately repeated. A shorter form of this scale is also repeated, leading to further variations treated likewise and imposing new intervallic shapes on the basic rhythm, the procedure identified earlier as characteristic of the third type of developing variation. The extent of literal repetition and slow rate of motivic evolution removes this theme from the Brahmsian sphere, although one may well see Schoenberg applying Brahms's principles to different ends here.

In seeking precedents for the use of three-note motives in transposition before op. 4, the opening theme of the discarded Piano Trio in D minor (Nachod No 76) bears a relationship.

However, its structure is comparatively uninteresting, involving essentially unvaried repetitions on the first third and fifth degrees, balanced by descending elements which remain repetitive. The lack of a capacity for growth may perhaps have discouraged Schoenberg from continuing the sketch beyond its sixteen bars.



Of far greater interest is the first theme of the D major Quartet, written in the same year. Here the elements of the four-note motive (a) are juxtaposed and transposed in the varied repetition (a^1):

Allegro molto

The musical score consists of two staves in D major (two sharps). The first staff begins with a treble clef and a key signature of two sharps. It contains several measures of music. Above the staff, four motives are labeled: 'a' (a four-note arch), 'a¹' (a transposed version of 'a'), 'a²' (another transposed version), and 'a³' (a further transposed version). Below the staff, several measures are labeled with 'c' and 'b'. The second staff continues the music, with a measure labeled 'a' above it. The tempo marking 'Allegro molto' is written above the first staff.

Moreover, the connection itself, involving the repetition of notes 3 and 4, (b), becomes a basic feature of the theme; notes 3 and 4 of the second motive are also restated (c), giving rise to a further motive (a^2).

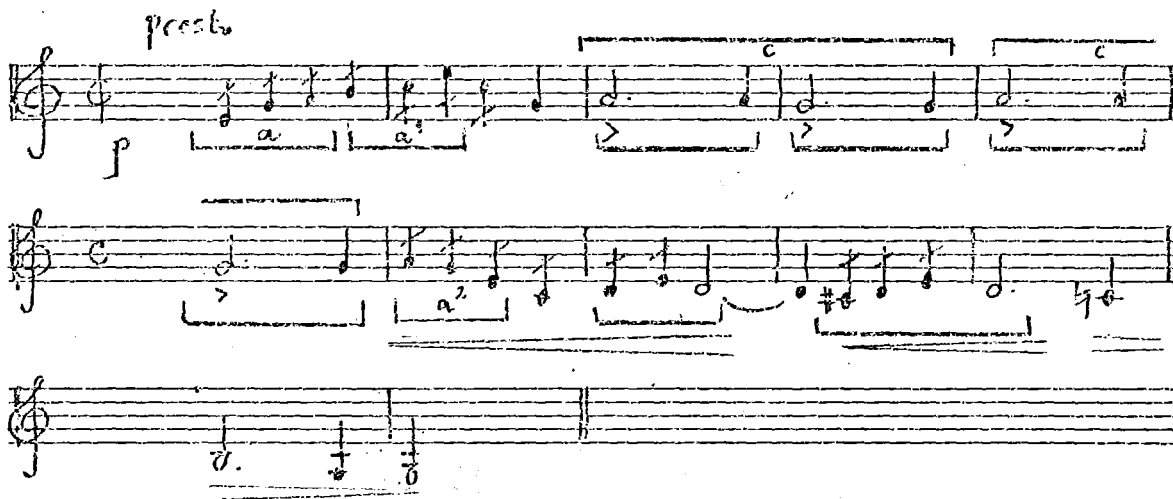
Schoenberg's working processes are illuminated by comparison with the possible stimulus for this theme, Brahms's song "Es liebt sich so lieblich in Lenze" op. 71/1, which describes a similar arch in the same key:

Anmutig bewegt

The musical score consists of a single staff in D major (two sharps). It begins with a treble clef and a key signature of two sharps. The tempo marking 'Anmutig bewegt' is written above the staff. The music features a four-note arch motive, which is the same as motive 'a' in the previous score. The staff ends with a double bar line.

Whilst Brahms's arch is simple, however, that of Schoenberg points out the relation between its motivic elements and connects them by a process characteristic of the second type of developing variation; namely, the beginning of each successive phrase with the close of its predecessor.

This principle is applied much more loosely to a theme which shares the intervallic character of the preceding example, the first theme of the Presto in C. Here, though the motives (a) and (a¹) are similar in relationship as in pattern to the preceding example, it is rather the close of the repetition of (c) at bars 5 - 6 which anticipates the next phrase at bar 7. the opening motive of which (a²) also relates to the beginning by retrogression.



Motivic transposition and internal repetition combine with the other feature of the second type of developing variation,

inversion, to characterize the most advanced examples in op. 4, represented by Themes 1a, (1) and 11a (1). In each case the structure consists of a literal repetition of the initial phrase followed by continuous development; the whole bears very little relation to a conventional sentence structure beginning with two statements of an opening phrase. Two factors claim attention: the evolution of the latter parts and the motivic structure of the opening phrases. The most complex example is provided by Theme 1a(1); although shared between three instruments, the thematic evolution is clear:

The image shows a handwritten musical score for Theme 1a(1), consisting of four staves. The notation includes various musical symbols such as notes, rests, and dynamic markings. Labels above the staves include (vln 1), (vln 2), and (vln 1). The score is divided into sections labeled a, b, a, b, a, and b¹. The first staff has a dynamic marking of p (piano) and a crescendo marking. The second staff has a dynamic marking of f (forte). The third staff has a dynamic marking of ff (fortissimo). The fourth staff has a dynamic marking of e (forte). The score is written in a single system, with the staves connected by a brace on the left.

Here the varied repetition of motive (b), bar 3, creates a new motive-form (b¹) by diminution and extension, involving transposition up an octave; (b¹) includes the rising motive (c). The second motive-form (c¹) is a modified transposition of this. The third form (c²) varies the second

by adding notes which create accentual displacement. This form is repeated almost intact in bar 5 (c^3) and its final note is dovetailed into a further variant (c^4) by a process of displacement analogous to that preceding. The sixth form (d) reverts to the first and second forms for its outline. The seventh motive-form (e) fills out the final note of the preceding form with a sequential repetition of its conclusion. The obvious development of the theme may be regarded as completed by this point, its more distant reliance on the semitone in the following bar being supported by counterpoints already well established.

Theme IIa(2) applies the same principles in a more limited fashion. The evolution again begins with a diminution of the close of the motive-form (b) in association with octave transposition:

mit schmerzlichem Ausdruck

The image shows a handwritten musical score on two staves. The top staff begins with a treble clef, a key signature of one flat (B-flat), and a common time signature (C). The first note is a half note C. Above the staff, there are three groups of notes, each with a bracket above it. The first group contains notes B-flat, A, and G. The second group contains notes B-flat, A, and G. The third group contains notes B-flat, A, and G. The bottom staff begins with a treble clef, a key signature of one flat (B-flat), and a common time signature (C). The first note is a half note C. Above the staff, there are two groups of notes, each with a bracket above it. The first group contains notes B-flat, A, and G. The second group contains notes B-flat, A, and G. The score is written in a cursive, handwritten style.

In this case, however, the variation involves addition before rather than after the retained element, here the single note E flat. The second motive-form (d) is a downward transposition of this variant, comparable in function with the upward transposition of (b¹) in Theme 111(2) (See Page 253). The final form (e¹) refers to the rhythm of the opening form, though with a new intervallic pattern derived by inversion from the descending shape generated by the conjunction of (d) and (d¹), (e). This back-reference to an important aspect of an earlier form, which has the effect of checking the consistent evolution of the theme, again relates to Theme 111(1). Indeed, Theme 11b(1) accompanies Theme 111(1), in illustrating the "impurity of measures" which Schoenberg ascribed to Brahms's model and which arises through a comparable process of motivic evolution.

Of equal economy in op. 4 are the structures of the phrases themselves. Viewed overall, one may observe the falling semitone as the basic motive of the work, its "greatest common factor" in Schoenberg's expression, generally appearing with its inversion and being modified to a whole tone step in many cases. It is most immediately apparent in Theme 11a(1), which opens with the juxtaposition of rising and falling semitones, subsequent evolution employing the falling major second, then the rising major second introduced by the semitone. In Theme 111(1), the falling augmented fourth of the first phrase is replaced by the semitone in bar 3 and the falling major second again provides the means of extension hereafter, though the semitone is again prominent in the rest of the theme. In Theme 1a(1), the relationship of semitone and tone

is taken a stage further, the first phrase including both, although the falling tone may be seen as decorating a more basic semitone movement upwards:



the greater significance of the semitone here seems clear from the subsequent evolution, which is dominated by this interval in both forms. Whilst their characters are quite different, the parallels between the methods of this theme and Brahms's use of the semitone and its variants in the op. 51/2 - 11 theme seem clear and, taken with the factors noted, suggest Schoenberg's interpretation of this theme as relating to his own methods.

The links apparent between, in particular, Theme 1a(1) of op. 4 and op. 51/2 theme of Brahms are developed in even more subtle ways in some of the themes of Schoenberg's D minor Quartet op. 7. Attention again concentrates on the process by which one phrase grows from another and the intervallic structure of the basic motives themselves.

The most direct link is to be found between Theme 1a(1) of op. 4 and Theme 1b of op. 7; indeed, the latter can be seen as intensifying and extending the processes of the former:

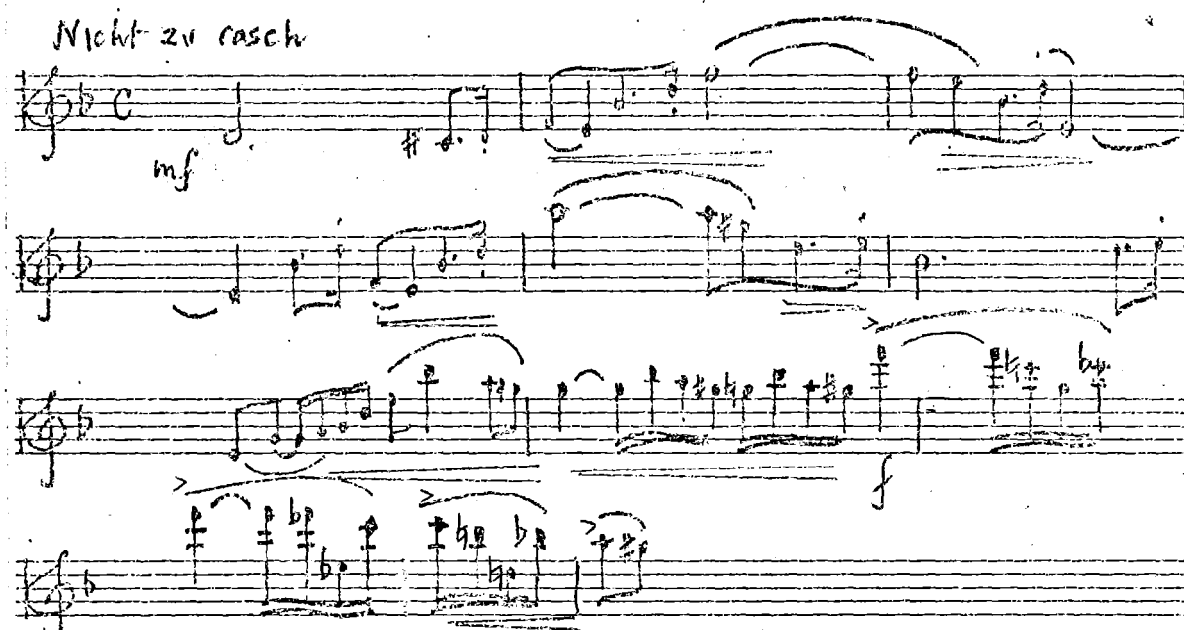
op. 4. Etwas bewegter

op. 7. Nicht zu rasch

Hence, the process by which the development proper begins at bar 5 in the later theme is almost identical with that at the comparable point, bar 3, of Theme 1a(1) of op. 4: namely, the rhythmic diminution and extension of the preceding motive-form, which initiates a continuous evolution. The later theme differs only in its use of the opening motive as its source, rather than that which precedes it in bars 2-4; the second phrase in these bars employs significant variation where that of op. 4 merely repeats literally. The sequential repetition of the new motive is identical in both themes, but the later theme is notable thereafter for its quicker and more extensive variation; it

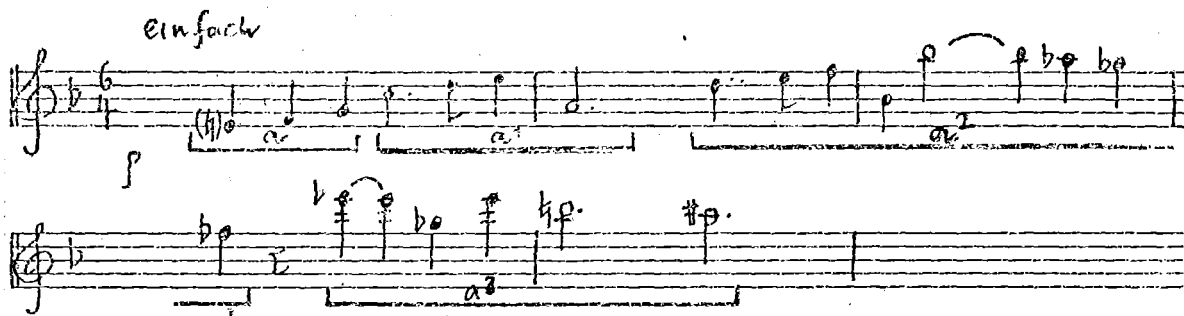
produces a triplet motive whose sequential repetition leads in turn to further variations which are repeated, all within four bars; in contrast, Theme 1a(1) reveals less growth over its fifteen bars.

The evolutionary process of Theme 1a of op.7 also bears significant relationship to that of Theme 1b (1) of op. 4:

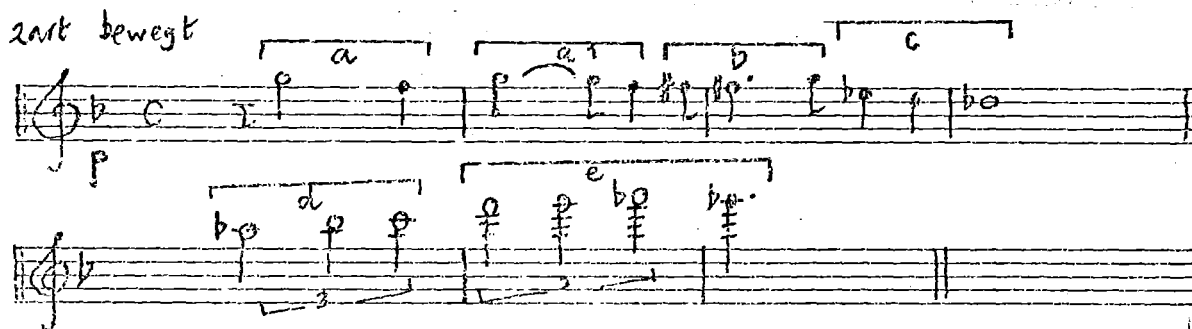


Here again, an antecedent of two closely related phrases produces material for a proportionally longer consequent in which each motive-form clearly evolves from the preceding form. The connection of all the phrases provides ample illustration of the principle of phrase connection noted earlier in relation to the op. 51/2 theme. Phrase 2 begins with a barely disguised repetition (d) of the preceding figure (d) as does Phrase 3 (d) from (d) Phrase 4 begins with a rhythmic variant (e) of the preceding form (e), a method which also obtains for the following phrase connections.

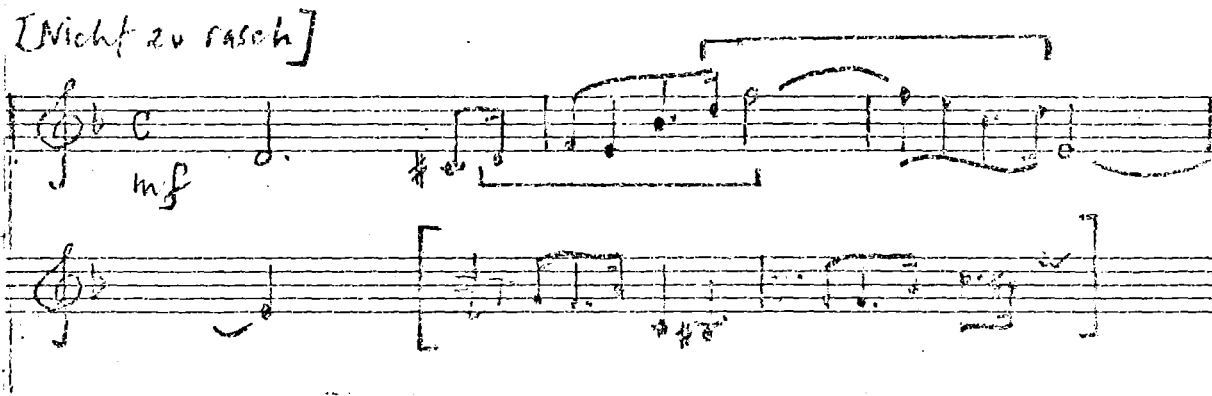
Theme 11b displays the principle of progressive variation even more clearly, since the procedure is applied to a basic motive of only three notes, transposed and extended, the form still retained in the closing phrase, though partly obscured by decoration of its descending shape at that point:



Schoenberg himself noted the derivation of this three-note motive in the closing bars of Theme 11a(2). Though less obvious in its growth, this theme is equally subtle in its structure; a two-note motive (a) is repeated in rhythmic variation (a') and then inversion (b), generating a three-note descent (c), which is then stated in augmentation and inversion (d), concluding with a four-note form: (e):

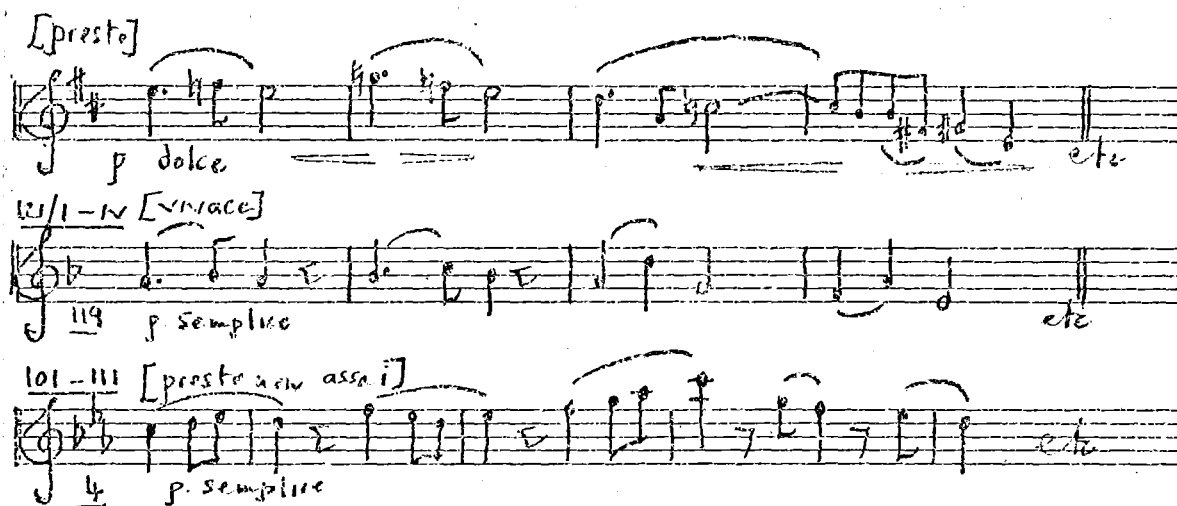


As regards the intervallic structures of the themes themselves, Schoenberg takes further the methods apparent in op. 4 and his procedures complement the features noted in connection with thematic evolution. The semitone is again the dominant interval, although, consistent with the more expansive phrases, a wider range of intervals is apparent. Of particular note is the subtlety of internal variation, reflecting his recurrent preoccupation with this feature in Brahms. Octave transposition and rhythmic variation in Theme 1a of op. 7 disguise at (a¹) the repetition of an entire feature (a), a characteristic also apparent in the parallel theme of op. 4:



In conclusion therefore, a very clear connection may be seen between the features on which Schoenberg lays greatest stress in his most prominent Brahms examples and his own methods. It is particularly interesting to note the decreasing role of the third type of developing variation noted in Part Two, the application of free intervals to a retained rhythm, which is still important

in Brahms. The method employed in, for example, Theme 11a of the final movement of Schoenberg's D major Quartet is backward-looking in relation to the examples noted, employing one basic rhythmic motive with a number of intervallic shapes. Indeed, it is interesting to note ^{the} greater intervallic economy of the two Brahms themes which may have been in Schoenberg's mind here; they give some support to Schoenberg's view concerning the trend towards intervallic unity in Brahms's themes. They are from the Clarinet Sonata op. 121/1 - IV and the Piano Trio op. 101 - III respectively:

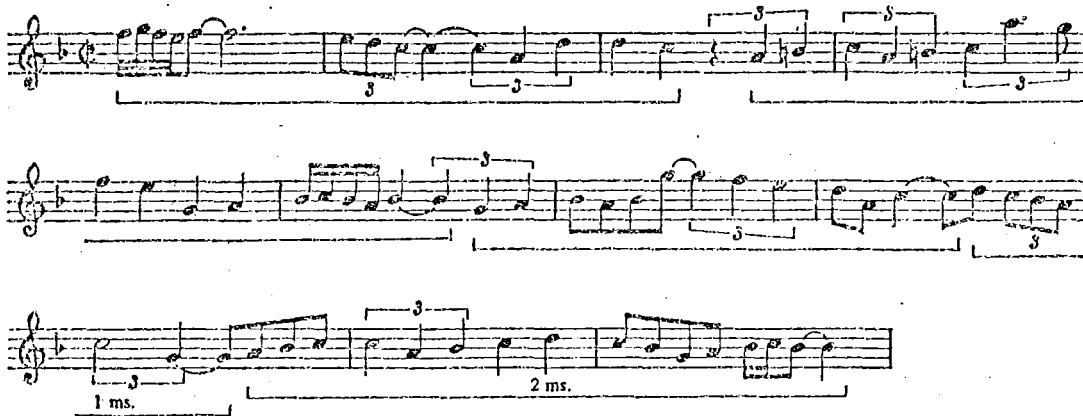


Yet, if Schoenberg grasped the historical tendencies in Brahms's thematic processes, he quickly applied Brahms's methods to new contexts. Thus, the motivic intricacies most apparent in slow, ruminative themes by Brahms, now appear in quick, assertive themes by Schoenberg. In this light, it is perhaps no coincidence that Schoenberg should have grouped together two of the themes to which greatest attention has been given in this study - the slow theme of op. 51/2 - 11 and the quick theme of op. 7 - 1 as illustrations of asymmetrical structure in FMC. (140).

The full force of Schoenberg's relationship to Brahms becomes apparent when his themes are compared with those of contemporaries who were equally aware of Brahms's example, and who, moreover, were classed by Schoenberg as employing developing variation. In the article 'Criteria for the Evaluation of Music' (SI 129 - 30), Schoenberg draws a distinction between the "sequences and semi-sequences" of Bruckner, Wolf and Richard Strauss and the "new technique" of developing variation employed by himself, Reger and Mahler. However, he never directly compares his methods with those of the latter composers, only mentioning them in the broad context of asymmetry of phrase structure in 'Brahms the Progressive', a passage which also cites asymmetrical examples from Bruckner and Strauss. Whilst, however, he makes only a brief reference to Reger (to the "indivisible five-measure unit" in the first sentence of the Violin Concerto op. 101, seen as comparable with the "natural" irregularities in the opening of Bruckner's Seventh Symphony and Strauss's Symphonia Domestica op. 53 (SI 424 - 7), his reference to Mahler's Das Lied Von der Erde is more explicit, relating back to the musical prose discussed earlier in the essay.

Hence, of 'Abschied', he states "all the units vary greatly in shape, size and content, as if they were not motival parts of a melodic unit, but words, each of which has a purpose of its own in the sentence." (426). This remarkable theme, forming a

sentence of eleven bars, exceeds any of the unusual structures noted hitherto in the freedom of its evolution and is notable in achieving a prose-like form without a concomitant motivic evolution.



However, the theme comes from late in Mahler's output (1907 - 8), at a period when Schoenberg's own style was changing rapidly, and hardly provides an appropriate example for comparison with the themes of Schoenberg's 'tonal' works. Mahler's themes, up to and contemporary with Schoenberg's op. 7, are much more regular in phrase-structure and repetitive in motivic content. Indeed, whilst Mahler's disturbances of regular phrasing are always notable, the prevailing folk idiom of many of his themes is very far removed from the idioms of opp. 4 and 7. Even the outstanding example of a continuous and irregular theme from Mahler's earlier output, the opening of the Second Symphony - cited by Schoenberg as an example of "asymmetry ... due to the irregular appearance of one-measure units" (425) - is hardly evolutionary in comparison with Schoenberg's examples.

Whilst the asymmetry is notable, the motivic process is much more repetitive than in themes of comparable length and function by Schoenberg; indeed, its developmental tendencies may be seen as purposely restrained since it serves to introduce a theme to which these elements form an accompaniment:



It is rather to the themes of Reger that one must look for evidence of a continuous evolution of ideas comparable with that apparent in Schoenberg's themes. Reference to the principal subjects of the 'Allegro' movements of the First and Second String Quartets opp 54/1 and 2 confirms these points most clearly; the second subjects are, characteristically, in great contrast, lapsing into comparatively direct periodic structure. As in the themes of Schoenberg's opp. 4 and 7, Reger obscures the relation between his first subject groups and transitions, producing

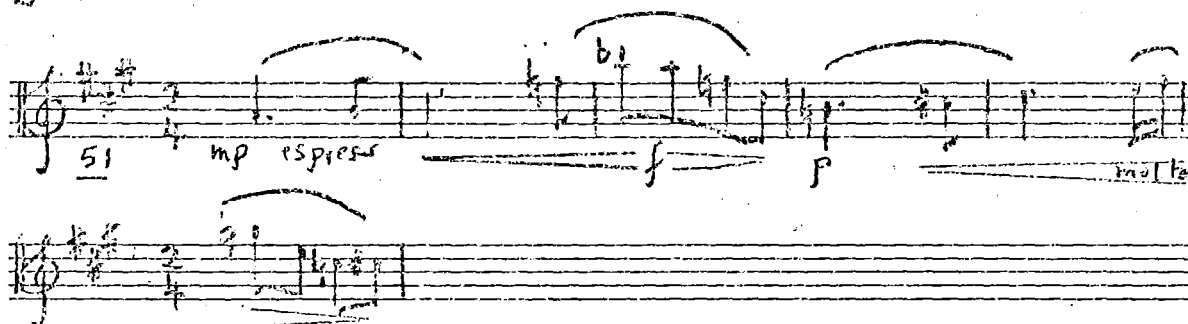
continuous movement up to the appearance of the second subjects in both cases. Indeed, Reger considerably exceeds Schoenberg in his independence from formal models in op. 54/1. Whilst Schoenberg retains a relationship with sentence form in his themes by employing initial repetitions prior to development proper, either by literal repetition of the opening bar, as in Themes 1a(1) and 1b(1) of op. 4, or by modified repetitions of bars 1 - 2, as in Themes 1a and 1b of op. 7, this framework is not perceptible in Reger's themes. The opening paragraphs of both are much more continuous, that of op. 54/1 of five bars length, that of op. 54/2 of nine bars. Thereafter both proceed continuously until the second subject, although they contain more cadential points than the Schoenberg themes.

(APPENDIX EXAMPLE 17)

Although Schoenberg must have been impressed by Reger's independence of formal restrictions for his date, it is equally clear that this freedom applies to motivic detail. The cadential tendency which destroys the sense of overall growth arises from a lack of organic development. This is particularly clear in the intense 'Allegro agitato' opening of op. 54/1, the evolution of which is rhythmic and not intervallic and which relies thereafter on extensive repetitions of a basic idea with added counterpoints and very overt back-references, rather than the

evolution of progressively transformed variants. This tendency is even clearer in op. 54/2, whose playful style invites the fragmentary repetition of different lengths of its opening theme in a quasi-developmental style, which, however, does not evolve. Even within themes of comparatively identifiable structure, such as the second subjects of these movements, the irregularities which occur are 'natural', rather than the consequence of motivic evolution or processes of extension or insertion, as in the three-bar phrases of the second subject of op. 54/2.

[Allegro assai e bizzoso]



The composer who relates most closely to both Brahms and Schoenberg in the intervallic economy of his themes is Zemlinsky. The tendency to generate themes by variations of a single step, tone or semitone, shown in opp. 4 and 7 is equally strong in his work. The process is clearest in the First String Quartet, op. 4. The antecedent of the first subject can be reduced to a line based on the rising and falling second, (a) and (b), from which is generated an ascending third figure (c), the passage concluding with (a) and (b).

Allegro con fuoco

f

p. dolce

ff

The consequent continues to expand these ideas, (c) being inverted and using the rhythm of (a), (c) accompanied by a combination of both inversion and original. In addition to these unifying shapes, variation by repetition may also be noted as between bars 1 and 2 and within bar 5, the subsequent movement reflecting the tendency of the smallest notes in creating a sense of development. In contrast, the latter part of the consequent employs augmentation of the second motive-form (b) and its varied sequential repetition extends even further. The emphasis on successive variants is also to be found in the second subject, notable for rhythmic diminution. The process is not as well advanced in the Clarinet Trio op. 3. Here although the preoccupation with the rising and falling second is as strong, especially in the second subject, the connection of intervals is not motivically organised to the same extent. However, Zemlinsky's preoccupation with recurring shapes and rhythms relates directly to Schoenberg's teachings regarding motivic variation and shows the basis from which Schoenberg's richer imagination and more systematic mind produced the themes noted. It is worth noting that the various shapes assumed by the dotted rhythm of the first subject of op. 3 coincide at one point with Theme IIa(1) of Schoenberg's op.4, a relationship symbolic of their common preoccupation with the semitone:

Allegro ma non troppo

Ia

Handwritten musical notation for section Ia. It consists of two staves. The first staff begins with a treble clef, a key signature of one flat (B-flat), and a common time signature (C). The first measure is marked *mf*. The tempo/mood is indicated as *con moto espress.*. The melody features a series of eighth and sixteenth notes, some beamed together. The second staff continues the melody, ending with a *diminu.* marking.

Ib

Handwritten musical notation for section Ib. It consists of two staves. The first staff begins with a treble clef, a key signature of one flat (B-flat), and a common time signature (C). The melody is composed of eighth and sixteenth notes. The second staff continues the melody, ending with an *etc* marking.

Ir

Handwritten musical notation for section Ir. It consists of two staves. The first staff begins with a treble clef, a key signature of one flat (B-flat), and a common time signature (C). The melody is composed of eighth and sixteenth notes. The second staff continues the melody, ending with an *etc* marking.

IIa

Handwritten musical notation for section IIa. It consists of two staves. The first staff begins with a treble clef, a key signature of two sharps (F# and C#), and a common time signature (C). The tempo/mood is indicated as *Mit Schwung*. The melody features a series of eighth and sixteenth notes, some beamed together. The second staff continues the melody, ending with an *etc* marking.

Development

Handwritten musical notation for the Development section. It consists of two staves. The first staff begins with a treble clef, a key signature of one flat (B-flat), and a common time signature (C). The melody is composed of eighth and sixteenth notes. The second staff continues the melody, ending with a bracketed section labeled *op 4 = IIa*.

The ease with which Schoenberg responded to Brahms's motivic thinking rested, in its turn, on a naturally flexible sense of phrase structure. It is appropriate, in conclusion, to illustrate some of the ways in which the notable independence of the practice forms in opp 4 and 7 is anticipated in the sentence and period structures of his earlier works, drawing parallels with Brahms's methods where appropriate, though, necessarily, in more general terms than previously.

The most immediate pointers to Schoenberg's later methods are to be found in his treatment of the forms in which one would least expect irregularities, the pieces in popular vein contained in the Nachod Collection and dating from his earliest activity. The phrase lengths and phrase combinations of, for example, the three Alliance-Walzer (No. 65) reveal a striking independence from any likely models, not least those of Brahms:

The first is of twenty-two bars in length, structured as follows:

5, 5, 5, 2, 2, 3,

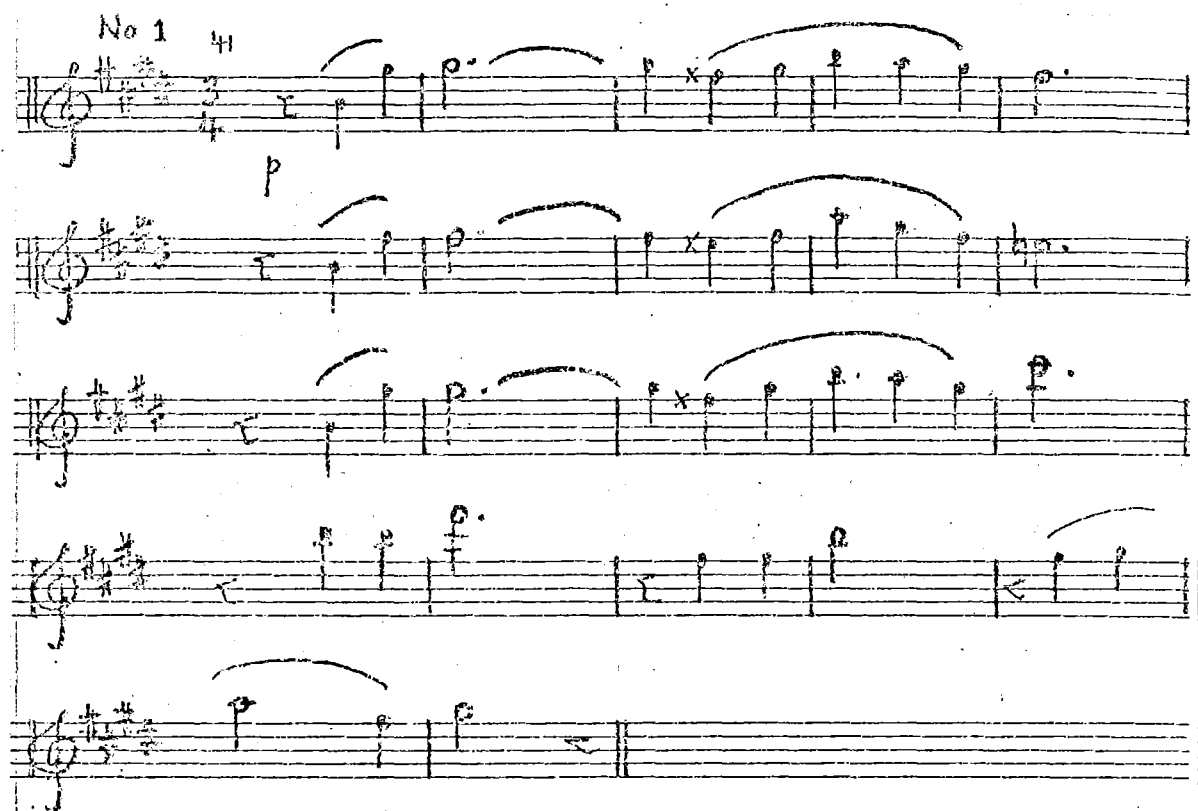
The second of thirty-two bars:

8, 8, 4, 4, 3, 2, 3,

The third of forty-four bars:

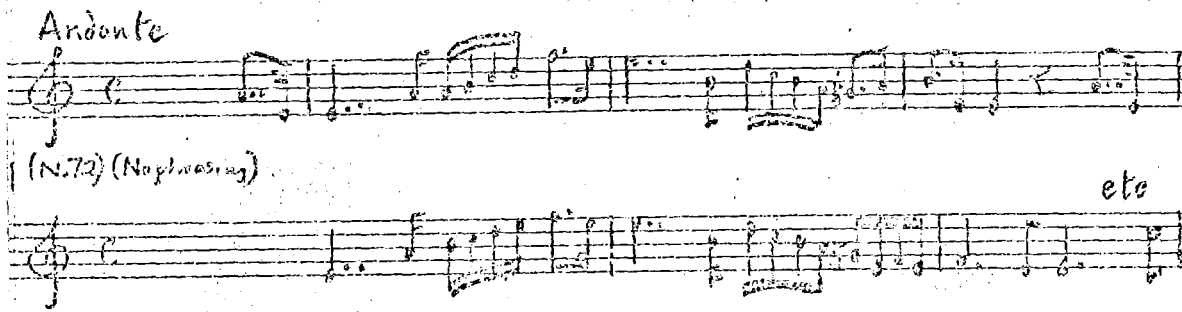
7, 10, 5, 5, 5, 4, 3,

Of particular interest is the extent to which the irregularities of the main phrases of Nos 1 and 3^{are} in Schoenberg's term 'natural', that is, produced by no obvious variation of even phrasing.

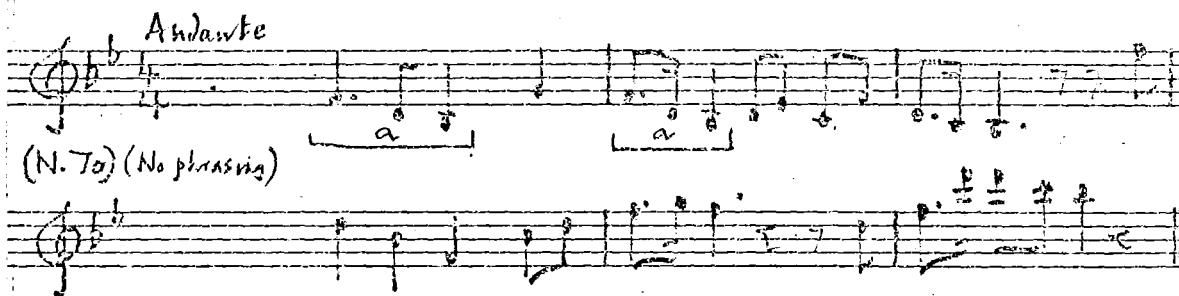


That these irregularities were intentional, rather than, as might perhaps be suggested, indicating the awkwardness of his early untutored efforts, seems confirmed by the smooth regularity of some of the other items, for example the Polka (no 69) and the second of the Lieder ohne Worte (No 71a).

'Natural' structures of three bars are present in the 'Lieder ohne Worte' nos 1 and 3 (Nachod Nos 70 and 72) and the Piano Duet in C minor (Nachod No 75). Whilst the second example is, again, continuous,



the first can be more obviously explained, in terms of motivic variation. Here the opening motive (a) is repeated in diminution to produce a phrase of one-and-a-half bars, which requires balancing. The Brahmsian origin, and its value to Schoenberg, has already been stressed.



In the Piano Duet, three bar phrasing is maintained throughout the 'a' section. Schoenberg's comment on an analogous example of Brahms's 'asymmetry', from the finale of the Piano Quartet op. 25 - IV, applies equally to this example:

"{t} consists of ten three-measure phrases. A phrase like this, consisting of six quarter notes may be understood as resembling a measure of $3/2$, which demonstrates its naturalness". (FMC 137) :

Allegretto graziosa quasi allegretto

p

mf
(2nd)

pp

f

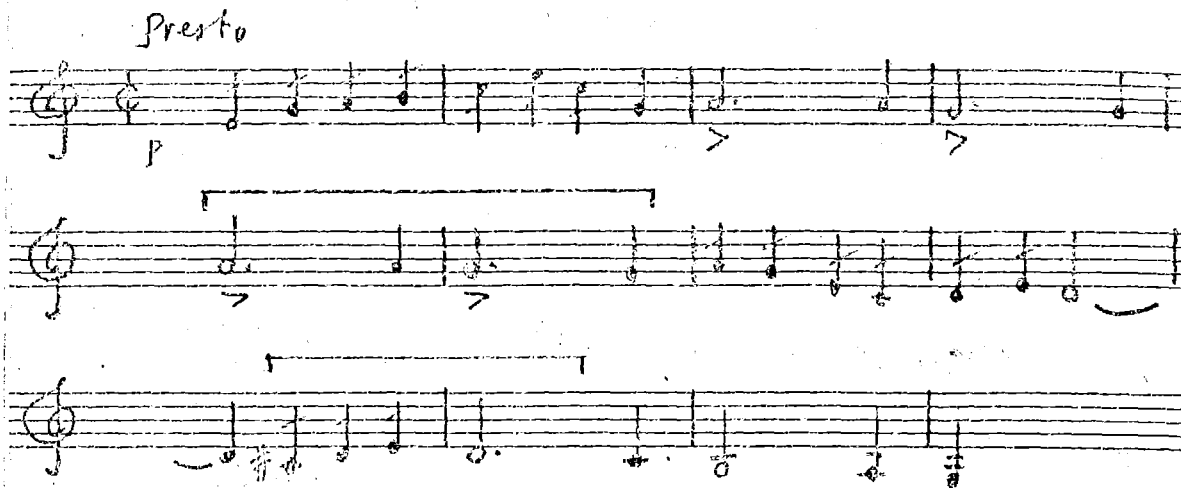
op. 25-IV

presto
f

Less unusual irregularities are to be found in the many cases which relate directly to the basic methods of phrase variation noted in Part Two. Of these, two examples of the second type, the repetition of motive forms may be instanced, from the D major Quartet and the Presto in C respectively. In the second subject of the Finale of the Quartet, the consequent is extended to SIX-and-a-half bars by the repetition of bar 7 and the augmentation of bar 8 through varied repetition, for cadential purposes:



In contrast, the Presto employs consistent extension to produce regular six-bar phrases. However, it is of special interest for the freedom of Schoenberg's treatment. Hence, whilst bars 3 and 5 are repeated literally in the antecedent, repetition is employed differently in the consequent; bars 9 and 10 rather than 11 and 12 are repeated, thus creating a different pattern. Moreover, the repetition displaces the accent of the original, a Brahmsian feature, though never apparent as early in a theme in the examples of this type noted:



Finally, attention may be directed to a relationship of the kind to which Schoenberg does not devote attention comparable with that accorded to phrase structure; namely, one of metre. The first of the Three Piano Pieces of 1894 presents a theme of three bars of 2/4, though heard as two bars of 6/8. The tension which exists between the phrasing and the notation is highly characteristic of Brahms and demonstrates the strength of Schoenberg's feeling for the composer in his early works.



PART FOUR

SECTION THREE

TONAL AND HARMONIC RELATIONSHIPS

Of the two aspects of Brahms's procedures outlined in Part Two, it is only his uses of long-term tonal relationships which seem to have offered Schoenberg any significant stimulus in his own compositions. In contrast, features of the kind which he stressed in Brahms's themes are much less in evidence than those which he associated with Wagner. In long-term planning, however, there seem grounds for considering Schoenberg's awareness of Brahms to have provided a fruitful indication of certain possibilities of tonal expansion in the works in question. Accordingly, these relationships will be considered first, prior to the necessarily somewhat broader consideration of the role of harmony in thematic and related contexts.

In the sphere of long-term planning, the tonal structure of the D major Quartet attracts immediate attention. Schoenberg's marked preoccupation with mediant relationships within and between movements reveals the strength of his urge towards both tonal expansion and structural unity. The key scheme of the four movements divides the octave equally into successive steps of a major third, D major - F sharp minor - B flat minor - D major, a scheme which enables more distant keys than the traditional 'relatives' to be brought into the proximity of the tonic. Moreover, mediant relationships are also stressed within movements. Both the outer, more weighty movements stress the alternative mediants. M, F major, is used very prominently in both development sections, whilst Sm, b minor, provides the key of the second subject of the first movement, which also utilizes the major mode, SM.

It is only in the context of a mediant relationship that the dominant, A major, appears - in the central section of the Intermezzo movement in F sharp minor. The second subject of the Finale is in A minor rather than major, recapitulating in the tonic minor, a relationship in the same Class as the other mediants used, (2), save m (D major - F sharp minor), which Schoenberg places in Class

1 Contrast of mode in the central movements (F sharp minor to major, B flat minor to major) further adds to the mediant stress. The subdominant key is not significantly employed in the scheme.

The tonal planning of the four movements is without obvious parallel in the tradition on which Schoenberg drew. Although his examples of mediant relationships in SFH are few, they are characteristic of 19th Century practice in showing only one mediant step from the tonic between the movements of symphonic and chamber works, further mediant steps being rare. The closest parallel is provided by Brahms's First Symphony, op. 68. However, Schoenberg exceeds Brahms's limits by bringing into the orbit of the major tonality relationships explored ^{by} Brahms in the minor; whereas the ambitious relationships in the minor tonality can be explained as resulting from the harmonic richness and intensity of the work, however, the harmony and emotional character of Schoenberg's Quartet are straightforward by comparison. In the context of an identical tonality and affinity of mood, Brahms's relations in his Second Symphony op. 73 are less ambitious, reaching only one

mediant, SM, B major, in comparison with the two mediants employed by Schoenberg, M and bsm.

Although the division of the octave is identical in Brahms's op. 68 and Schoenberg's Quartet, it would seem difficult to compare their tonal ranges because of the uses of different modes for both tonic and related degrees. According to Schoenberg's classification, however, the scope is remarkably close. Brahms's relationships fall into Classes 5 (C minor - E major), 2, (E major - A flat major) and 1 (A flat major - C minor) whilst Schoenberg's furthest movement is to Classes 4 (B flat minor - D major), 2, (F sharp minor - B flat minor) and 1 (D major - F sharp minor). However, the scope of the relationships from minor keys is considerably reduced if one accepts that they are all prepared by transformations to major. Thus Brahms's progression of Class 5 becomes one of Class 2 if seen as C major - E major, Schoenberg's of Class 4 and Class 2 if seen as B flat major - D major, and of Class 2 as of Class 1 if seen as F sharp major to B flat major. Whilst Schoenberg followed Brahms's model in facilitating direct tonal transitions between movements, the overall effect is less smooth in that he is unable to make a final transition of a Class comparable to that of Brahms, who moves from A flat major to C minor, Class 1. Schoenberg modifies the effect of his movement from B flat major to D major by treating B flat as bVI in D major in the opening bars of the finale, a procedure, which though finding many precedents, for example in Beethoven's Fifth Piano Concerto, op. 73 second to third movements, is not characteristic of Brahms.

The historical significance of Brahms's tonal procedures in op. 68 is further clear in the mediant contrasts within the inner movements. Brahms moves to G sharp minor for the second subject of his second movement in E major, and to B major for the central section of his third movement in A flat major. Although the mediant progression in Schoenberg's second movement, F sharp minor to A major, belongs to the same Class, (1), it is a more conventional relationship, A major being employed here rather than in its customary role as dominant in the Finale. Contrast in the third, variation, movement is limited to that of mode, as shown.

The advanced nature of Schoenberg's planning is again apparent in the internal relationships of the most complex, outer, movements, especially as regards the keys used in the second subjects and developments. Whilst it is common in the 19th Century to place the first statement of a second subject in mediant relationship, it is generally the upper mediant, used as an intermediate step to the dominant, as, for example, in many instances by Schubert. Schoenberg, however, employs the lower mediant through the entire second subject in the exposition; thus he incorporates within a movement a relationship used formerly between movements, as, for example, in Brahms's op. 73 (D major - B major for first and second movements). It is, however, in the development section of the first movement that the mediant stress is most apparent. This section can be analysed in terms of bM, F major, with both main subjects appearing in this key. The Finale offers less opportunity for such lengthy contrast, but F major is still prominent in the transitions (bars 36 - 47 and 155 - 60) and, in passing, in the development. While Brahms uses a mediant

relation at the opening of the development of the first movement of op. 68 (E flat minor to B major), it is not a relationship to the tonic, nor is it of importance in the Finale. A closer link with Schoenberg appears in the Finale of op. 73, which establishes F sharp major for a considerable period. However, this is a diatonic rather than an altered mediant. When Brahms does establish bM, as at the beginning of the development of op. 73 - 1, it is only briefly.

It is difficult to imagine greater change in harmonic idiom within a two-year period than that which appears in the language of Verklärte Nacht, op. 4. In this work appears for the first time evidence of the concern with Wagner's procedures which was so to preoccupy Schoenberg subsequently. Against this background, it is notable how strong remained the emphasis on mediant planning originally employed in relation to the much simpler harmonic idiom of the D major Quartet. Direct comparison between the works is difficult in view of the fact that op. 4 lacks the overt contrast of tonalities present in a work in several movements, whether discrete, or connected movements, as in the D minor Quartet op. 7. It comprises rather two sonata-related

movements which share the same tonic, D, also used in the introduction and coda. Within this more limited scheme, however, Schoenberg stresses related tonal principles, avoiding subdominant, dominant and relative major contrasts, though not following the earlier model exactly. Hence, in the second section the second subject appears directly in the mediant major, F sharp major, whereas Schoenberg employs the submediant, B major, in the first movement of the earlier work in D major. This is, however, a contrast of greater force, since the identity of B major is always modified by alternation with B minor in the Quartet, thus admitting interpretation as a variant of the relative minor. Here the contrast with M is direct. The ensuing development section of the second 'movement' of op. 4 relates more directly to the Quartet, however, in retaining the same mediant relationship as is found in the development of its first movement; namely with F major (bM). This use of F major denies its possible use as the relative major of D minor in the first section, Schoenberg turning to the lower mediant, although he extends the Class 2 relationship which exists in the other mediants to one of Class 3 by using the minor mode (B flat minor - indirect).

However, these relationships are complemented by others which fall outside the conventions of the sonata tradition. Theme 111(1) is in E major, whilst Themes 11b(2) and 111(2) are in D flat major. Although Themes 11b(2) and 111(2) can be interpreted in terms of more regular relationships, both flanking Development 1 in F major, with the first following a passage in its subdominant, G flat major,

Theme 111(1) is independent of such links. An explanation of these extensions of tonal relations lies in the programmatic character of the work. Although Schoenberg provided no tonal analysis, his identification of the programmatic significance of the individual themes¹ explains their tonal relationships. Hence, Theme 111(1) represents a crucial transition in the first part, the woman's realization that she is with child by a man she does not love. Tonal contrast is even more striking at the point where Schoenberg depicts the resolution of her anxieties by moving from E flat minor to D major at the beginning of the second movement.¹ Programmatic considerations lead to comparable tonal relationships in Pelleas and Melisande op. 5, which is also 'in' D minor. Although the tonal processes are independent, the same distant keys are prominent. Hence, E major serves in the first movement to represent Pelleas and dominates the third movement, the love scene of Pelleas and Melisande. The semitonal relation D - D flat is also apparent, the recapitulation of the first subject beginning in C sharp minor. However, Schoenberg exploits the relationship more fully here by using the key a semitone above, E flat minor, to balance C sharp in confirming the tonic at the close of the work.

Consistent with its status as a work of culmination in the first period, the D minor Quartet op. 7 draws the forementioned organizational tendencies into yet more subtle relations. The most immediately striking feature of the tonal plan, relative to the previous examples, is, however, the stress on the dominant, employed for the entire 'rondo' section. This relationship appears inconsistent with the mediant and single-step relations which abound and its presence can perhaps be explained as arising from the necessity to prepare for the final return of the tonic. Even in the D major Quartet Schoenberg felt unable to prepare the tonic in the finale through the flat submediant and employed a transition from this key to the dominant, A. In the context of the vastly more complex and lengthy D minor Quartet, whose final tonic section is just as strong in tonal identity as the passage of the earlier work, the dominant preparation remains as essential. This use stands in interesting relationship to that of op. 5. As mentioned, Schoenberg prepares his final tonic here through the key a semitone below rather than through the dominant. The dominant, however, functions in a more conventional way, as the key of the second, Scherzo, movement, approached as a mediant from F major, the key which closes the first 'movement'. In op. 7, however, dominant relations are avoided before the finale. Although the central part of the 'slow movement' is in E major, the tonal identity of the main parts is hardly established, veering rather to F and thus creating no sense of dominant relationship. The mediant relationship remains

strong, within as well as between sections. It provides the other major tonal contrast of the work, to G flat major in the Scherzo, as well as influencing the second development, in B flat major. The bsm relationship to D minor, already noted in the second subject of op. 4 now appears between the first two ideas of the, greatly expanded, first group and the second group follows the same principle, proceeding E flat major - C major: such relations abound in the work.

By the same token, semitone relations used formerly to confirm the tonic between sections and themes now appear within sections. For example, Schoenberg draws on the C sharp-minor - D minor - E flat minor relationship which is used in the closing sections of op. 5 to finally confirm the tonic. In op. 7 this procedure is applied, more adventurously, at the outset, the first subject appearing in D minor (bar 1), E flat major (bar 30), C sharp minor (bar 54) and finally D minor (bar 65). in the preliminary elaboration before the transition.

The significance of the latter example in Schoenberg's thinking has been particularly stressed by Lewin, though not with reference to Brahms.² He points out the significance of 'inversional balance', apparent not only in the relationship of the inverted forms of the row in serial and 'atonal' compositions, but also in Schoenberg's visual representation

of the regions balanced around the tonic "as a fulcrum". Thus he sees the varied inversions of the total chromatic as possessing "axes", each of which may be regarded as having "a pair of antipodal centres". In op. 7, therefore, the sequence C sharp - D - C sharp - E flat - D ^{is} be heard as "a strongly tonicizing progression", rather than explained in the more conventional terms of Neapolitan relationship. Since this principle applies equally well to the mediant relationships in the D major Quartet, the stimulus of Brahms's example to this mode of thought cannot be ignored.

The extent of Schoenberg's capacity to identify and to extend the structural relationships which he observed in Brahms comes into clearer focus when his methods are set besides those of his contemporaries. Neither Reger nor Zemlinsky employ tonal schemes in large or smaller-scale contexts which suggest thinking along these lines. Zemlinsky's works are strikingly restricted in tonal scope at this time. The String Quartet op. 4 only deviates from the tonic major to the tonic minor between movements (in the third movement), whilst the three movements of the Trio op. 3 all maintain the tonic. Moreover, the keys of the subsidiary subjects stress dominant relationships with mediants only arising in the central parts of the inner movements of the Quartet, A major to F major in the second, A minor to F major in the third. Reger's methods, though predictably more adventurous, suggest no greater principles of planning. Hence, the String Quartet op. 54/1 moves from the tonic G minor through F major and E flat major for its middle movements before returning to

G major for the finale. However, the internal relations are conventional. The three movements of the String Quartet op. 54/2 move from the tonic A major to D minor and back. Although mediant relationships are employed, with the tonic in op. 54/1 (G minor - E flat major for first and third movements) and op. 73 (C major - A major, second and third), they are not part of any obvious scheme, either between or within movements; nor is the single step downwards which is used in these works significantly employed elsewhere (op. 54/1, G minor - F major, first and second; op. 73, D minor - C major, first and second).

In moving from long to shorter-term considerations, Schoenberg's methods of distinguishing the themes of Brahms and Wagner provide an immediate basis for examining their relationship in the works in question. Since Schoenberg's references are most specific with regard to op. 4, in which he stresses the use of sequence, this work and this device provide the appropriate starting point for discussion; subsequent discussion will pursue broader relationships with Schoenberg's predecessors.

As already noted, Schoenberg ascribed the "thematic structure" of op. 4 to the models of Brahms and Wagner, citing Wagner's use of "'model and sequence' above a roving harmony" and Brahms's use of developing variation and construction of asymmetrical phrases respectively. His remarks are not immediately clear, however, since the structure of the themes makes little use of sequence. It is in the treatment rather than the structure of themes that sequence is prominent. Clearly, 'model and sequence' can have little role in constantly evolving themes of the kind already examined and sequential repetition in op. 4 is both slight and, when present, almost always varied.

Of the seven principal themes, only one, Theme 1a(2) makes conspicuous use of the device; however, the significance of this example is minimised by the fact that the passage in question forms only the latter part of the theme and, since it treats earlier material, can be regarded as developmental

rather than expositional in nature. Internal sequence is to be found in only one of the other themes, namely the passage of harmonic digression at bar 11 of Theme Ia(1) (6-2-2). This use of a half-bar model and sequence appears towards the end of the theme and is of minor significance in relation to the continual evolution and contrapuntal variation of the theme at that point. In all other cases, sequence is varied. Thus, in Theme IIa(1) the sequential extension of the second half of bar 3 varies the model sufficiently to obscure the device and the variation at the comparable point of Theme III(1) bars (5-6) achieves an analogous effect. Although Themes I(a)&III(2) are both repetitive in nature, literal sequence is avoided by harmonic and textural variation. The only theme which suggests sequence at the outset, Introduction Theme 2, makes changes in both melody and harmony. This reduction of the role of sequence in main themes to a minimum accords much more closely with Schoenberg's view of Brahms's thematic structure than that of Wagner.

Whilst, in contrast, sequence represents Schoenberg's principal means of developing themes, there is a perceptible distinction between sequential treatment in internal developments, that is, in parts of thematic sections, and the major developments of both 'movements'. Internal sequence is applied to Themes II(a)(1), I Ib(1), III(1). Though overt in comparison with its use in the themes themselves, sequence is varied in every case save the few bars which lead into Development 1 and can thus be classed with it. Theme Ib(1) a five-bar structure is repeated in a reduced form,

to four bars, with appreciable variation in voice-leading and harmony. A varied sequence is further applied to the repetition of the last two bars of this reduction at 8-2-1 and its later variant at 9-1-2. The following second theme of the group is treated in a similar manner. Though the entire theme, comprising two distinct ideas, is longer, and its identity retained to a much greater extent than in the previous example, contrapuntal variation is still present to distinguish the method from that used in the development proper. Contrapuntal variation serves similarly when this theme returns after Theme IIc(1) (14-3-1 to 15-1-2). Only in the three bars which now lead to development proper are essential relations strictly preserved, though even here Schoenberg varies their instrumental realization. The distinction between internal development and development proper is immediately apparent in Development 1. The opening passage, from 16-1-1 to 17-2-1 is repeated in every detail a tone higher from 17-2-2 to 18-3-2 and the following passages, 19-1-1 to 19-3-2 and 20-1-1 likewise, with internal progressions similarly related. Though much less extensive, the sequences of Development 2 are similarly exact, at 36-1-1 to 36-3-2 and 37-1-1 to 37-2-2.

The significance of Schoenberg's use of sequence in op. 4 is immediately clear when compared with its use in the D major Quartet. Although the earlier work employs the device frequently, it is only rarely and briefly used exactly, rather employing contrapuntal variation, as in the development sections of the outer movements, or modal change through simple imperfect sequence, most commonly to the dorian region in Schoenberg's terminology, as in the first exposition, G major to A minor, and first development, F major to G minor.

On the rare occasions on which Schoenberg employs sequence at the minor third above, as at bars 55-64 and 147-150 of the first movement and 105-109 of the finale, its use differs from that of op. 4 by the stable nature of the models, a feature common to almost all the models.

It is in the roving character of the harmony that the relationship of op. 4 to Wagner is so important as Schoenberg indicates and the example he cites in SFH (133) provides the obvious starting point.

Schoenberg imitates the three-fold statement of the opening of the Prelude to Tristan, outlining the diminished triad, on several occasions, though more often employing a two-fold statement. Schoenberg, however, considerably extends the method which he identifies in Wagner of employing short phrases in sequence. The application of sequence to long models of unstable harmony represents a fusion of Wagnerian and more traditional features, not least apparent through Brahms, whose exact sequence of an eight-bar model in the transition of the first movement of op. 90 is quoted by Schoenberg.

Consistent with the dominating principle of developing variation, the main themes of the op. 7 make no more significant use of sequence than the earlier works. As in op. 4, sequence is only applied in the latter parts of the themes and is always varied, either by extension, as, for example, in Theme 1a(1) (3-3-1 to 4-1-1) or variation of inner parts, in Theme 1b(1) (3-3-2 to 3). While a greater tendency towards sequential structure in thematic outline may be observed, Schoenberg avoids any suggestion of real sequence by changes in theme, harmony, contrapuntal relationships and motivic detail. Examples are provided by Theme 1a(1) which can be seen as implying a basic sequence on the second degree, given Schoenberg's

phrasing in FMC, and the themes of the slow and final sections. It is worth stressing that Schoenberg's previous large-scale work, op. 5 makes very conspicuous use of sequence in both themes and developments. Hence Golaud's theme employs dorian sequence both within and between phrases and the Love Theme similarly, though in this case the internal sequence is not complete. Although these examples reflect Schoenberg's interest in Wagner in their use of roving harmony, there was no room for such a simple means of repetition in the much longer, more evolutionary themes of op. 7. The harmonic complexity which they exhibit arises, as Schoenberg indicates, more as a consequence of largely polyphonic thinking than from the influence of roving harmony of the kind which he cites in Wagner.

The significance of variation in this work is particularly clear when the role of sequence in developments is considered. Whereas in op. 4, as well as op. 5, sequence is extensively used in development sections, Schoenberg's equally prominent dependence upon the device is still influenced by variation. Development 1 contains a model of some 43 bars (46-3-3 to 48-3-4), but the sequence (48-3-5 to 50-3-4), again on the second degree, G - A employs contrapuntal variation throughout. The much shorter passage of Development 1 (18-4-2 to 19-3-2) employs both contrapuntal variation and octave transposition without inversion. That Schoenberg could have written a work of this scope and tonal associations without employing sequence is difficult to imagine. His avoidance of literal repetition in all but trifling instances at both expositional and developmental levels represents a considerable advance beyond Brahms as well as Wagner.

If the role of developing variation inevitably displaces that of model and sequence in the main themes of op. 4, Schoenberg's less specific claim that the "manner of composition" derives from Wagner (SI 81) has obvious application to the harmonic characters of these themes, which confirm his point concerning the richer harmonic vocabulary yet lack of modulatory scope of Wagner's themes. Whilst one might expect from continually evolving themes a comparable richness in the use of regions, these themes lack modulatory interest, attention focussing rather on their uses of dissonance, especially in relation to pedal. As with two of Schoenberg's Wagner examples, pedal is conspicuous in these themes. Introduction Theme 1 begins with a pedal of eight-and-a-half bars, recurring for a further four-and-a-half bars within a section of twenty bars and much of the coda employs the same device. In Theme 111(1) the first four of its ten bars are built on pedal and the first ten bars of Theme 11a(2) are similarly constructed. The themes provide illustration of Schoenberg's acknowledged indebtedness to Wagner's method of "treating themes and motives like ornaments which can then be set dissonantly against harmonies".³ The most notable relation occurs in Theme 11b(2), which begins with an appoggiatura to the root of the chord of D flat supported by a dominant pedal, a procedure which only differs from the opening of the "Rheintöchter-Motiv" in the position of the appoggiatura, here to the fifth; the descent of the upper part is also similar:

[Etwas gedehnt]

Handwritten musical score for the first system, marked "Etwas gedehnt". It consists of two staves in 6/8 time, key of B-flat major. The upper staff begins with a melodic line marked *mf*, while the lower staff provides harmonic support with chords and sustained notes, marked *p*.

[Ruhigere Bewegung]

Handwritten musical score for the second system, marked "Ruhigere Bewegung". It continues with two staves in 6/8 time, key of B-flat major. The upper staff features a more active melodic line, and the lower staff has sustained chords, both marked *p*. Below the staves, the text "immer sehr v. leicht" is written.

In Thème III(1) the dissonance is more complex, with A sharp and C sharp displacing the main note B in two different ways, the period of resolution being reduced to the minimum.

Etwas ruhiger

Handwritten musical score for the third system, marked "Etwas ruhiger". It consists of two staves in 9/8 time, key of A major. The upper staff begins with a melodic line marked *pp*, and the lower staff provides harmonic support with chords and sustained notes, marked *pp*.

Another feature to emerge from Schoenberg's Wagner examples, the interpolation of unstable progressions within a simple basic tonal scheme, is also prominent in this work. For example, Theme 1a(1), interpolates roving segments from 6-2-2- to 3 which delay the resolution of the cadential dominant by stressing degrees which are unrelated to the cadence approach. However, it is interesting to observe a more Brahmsian relationship in the following passage from 6-3-3 to 4 which fulfils the same function of delaying the dominant resolution. Here the harmonic interest arises rather from the converging of the outer parts, which help to produce the 'last inversion of the ninth chord' at *, a progression which recalls a passage in Brahms's op. 90. - 1 (96-100):

[Etwas bewegter]

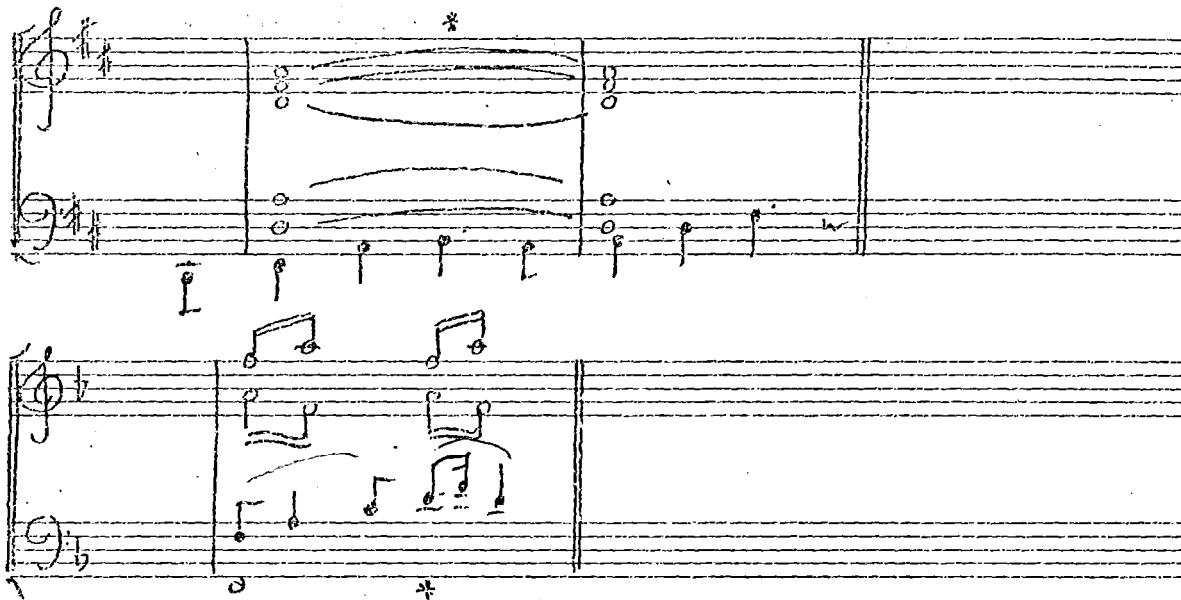
[Allegro con brio]
op 90-1
96

While, motivic processes apart, Schoenberg's stress on the Wagnerian character of op. 4 seems justified, a greater balance of relationships is clear in its predecessor the D major Quartet: namely those of Brahms and Dvorak.

The themes of the outer, sonata, movements of the D major Quartet are of two clear types and suggest distinct relationships with these composers. On the one hand are the assertive, principal themes which mainly recall Dvorak; on the other, the restrained secondary themes, which are closer to Brahms. Viewed overall, the main theme of the Finale is the most derivative in style. Its pentatonic structure, emphasizing the sixth degree over tonic pedal harmony relates closely to the principal theme of Dvorak's String Quartet op. 96, the common use of tremolo reinforcing the relationship:



A relationship also exists between Dvorak's theme and the principal theme of Schoenberg's first movement, if considered in its harmonized form at the recapitulation. While the texture is quite different, with the theme in the bass, tonic harmony creates the same clash with the note B of the theme.



The relationship becomes more striking when compared with Brahms's song 'Es liebt sich so lieblich im Lenz' op. 71/1. While Brahms's melody is even closer to Schoenberg's than that of Dvorak, the relationship does not appear as strong because he changes the harmony to retain consonance with the note B.



In the overall structure of the themes, however, a greater balance of relationships is to be observed. Both are conspicuous for their movement to the mediant, F sharp minor. However, their handling is different.

The theme of the Finale, in addition to the relationship noted, further recalls Dvorak in its lengthy closing mediant pedal, prior to the restoration of the tonic for the transition at bar 29. Exact repetitions of simple phrases over lengthy pedal harmony are very characteristic of Dvorak and stress on the mediant within main themes particularly common. An example, notable in the present context, is provided by the Finale of op. 96 which moves to A minor from F major at a comparable point, though for a shorter period, returning to the tonic with almost equal speed. Schoenberg's theme is, however, richer in harmonic scope. as in motivic contrast prior to this passage. The theme of the first

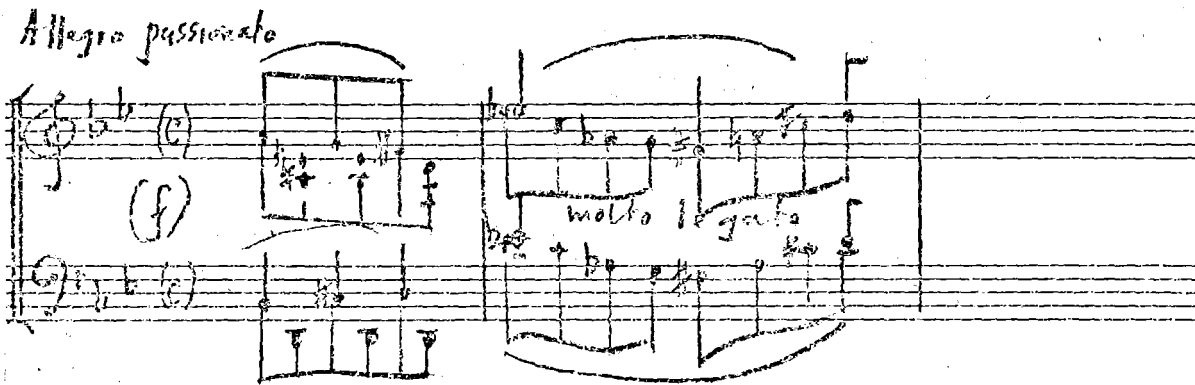
movement follows a different method, establishing a distinct pause on the mediant which, in turn, serves as a dominant to a new region, B minor; this is not established, however, yielding to the tonic for the transition. Although, despite motivic relation to the Brahms song, the brevity and simplicity of phrase structure of this theme preclude any direct parallels with Brahms' chamber themes, its contrasting section is reflective of Brahms's methods. This feature, not characteristic of Dvorak, is conspicuous in the opening themes of the Piano Quartet op. 25, Piano Quintet op. 34, and String Quartet op. 51/1. Whilst all these examples exceed that of Schoenberg in length and in the harmonic relationship of the contrasting section, the principle of introducing new material almost at the outset of a work "where establishing conditions exist" may have been influential here.

It is impossible to clarify the possible significance of this passage since insufficient material exists for comparison. Only the fragmentary opening of the Clarinet Trio survives to provide an example of first subject structure in a chamber context in this period and it is of insufficient length to be of real value, although it reveals a more strongly Brahmsian manner than the works for strings alone. Here the minor tonality stimulates an idea of greater intensity than the other works mentioned, one which gives promise of considerable length and complexity. The turn to the Neapolitan relationship after dominant harmony at bars 10-15 and the figuration of the piano part are particularly notable:

Allegro

This is a handwritten musical score for a piece titled "Allegro". The score is written on ten staves, organized into five systems of two staves each. The notation includes various musical symbols such as clefs (treble and bass), key signatures (one sharp and one flat), time signatures (3/4 and 4/4), and dynamic markings like *mp* (mezzo-piano) and *f* (forte). The music features a variety of note values, including eighth, sixteenth, and thirty-second notes, as well as rests and accidentals. There are several slurs and phrasing marks throughout the piece. The handwriting is in ink on aged paper, and the overall style is that of a personal or working manuscript.

A similar progression arises at a comparable point in a Brahms theme of related character, the main theme of the Capriccio in C minor op. 116/3, marked 'Allegro passionato':



The Brahmsian links with the secondary themes of the D major Quartet, are most apparent in the first movement. Consistent with its motivic and contrapuntal relationships to Brahms is an avoidance of tonic emphasis, as, for example, in the first movement of Brahms's op. 51/1, which also begins on the dominant and merely passes through the tonic in the establishment of new areas, though its subsequent movement is much more ambitious than here. In contrast, Dvorak's folk-like second themes

are always stable in their first statements, modulation appearing during second statements, as in op. 96. The second theme of Schoenberg's Finale balances these two characteristics. While its motivic structure is Brahmsian, its harmony is very limited relative to the Brahms examples and others of their kind.

In contrast to the outer movements, the relation to Brahms appears dominant in the inner movements. Brahms made increasing use of a gentle movement in triple time in place of a Scherzo whereas Dvorak retained a quick movement. Similarly, variation slow movements find parallels in Brahms rather than Dvorak. Despite their general background, however, the pieces are independent of any precise models. Notwithstanding its predominance in the later piano works, the term 'Intermezzo' appears only once in Brahms's chamber output, namely in the second movement of op. 25, although it may be noted that it appears as a second movement, whereas the scherzo substitutes are generally third movements. Neither of these movements bear any relation to the one other example of an Intermezzo in chamber music with which Schoenberg would have been acquainted,

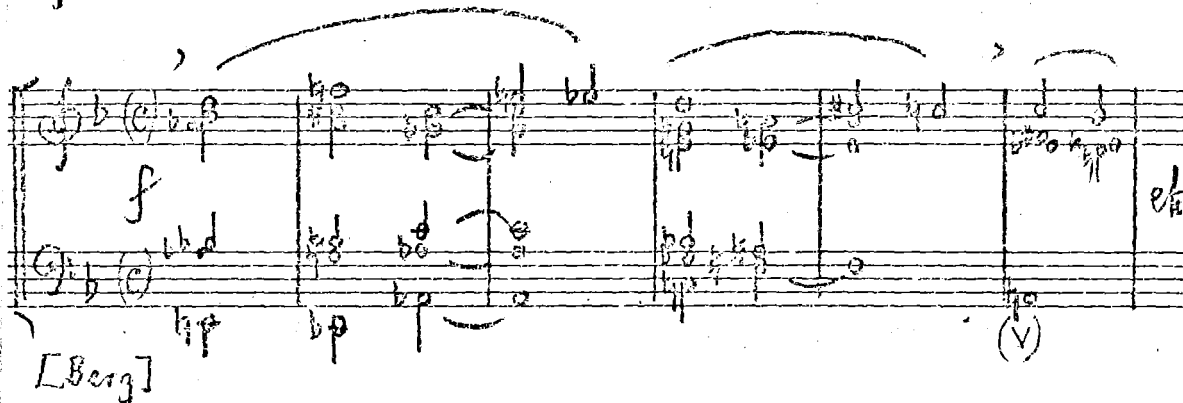
the central section of Schumann's String Quartet op. 41/1. The only feature which Schoenberg's 'Intermezzo' shares with the Brahms movement is the speed of its harmonic movement, although its nature is different, Brahms moving much further later in the theme whilst retaining the tonic longer at the beginning. Although the general mood of the Schoenberg movement is much closer to Brahms's piano pieces of this name, which are almost always in triple time, the harmonic character of their main themes is predominantly stable;

the often quoted opening of the Intermezzo in B minor op. 119/1, being uncharacteristic in this regard. While Schoenberg's harmonic fluidity relates to Brahms, largely as a result of its Brahmsian phrase structure, its character is individual, notably in the pauses on the dominant at the end of the first 'a' section. The harmonic relations to Brahms are of a broader nature. Attention can be drawn to the enrichment of the harmony towards the cadence of the first 'a' section, notably the major supertonic chord at bar 32, which can be compared with the similar intensification at the close of Brahms's Intermezzo in C sharp minor op. 117/3.

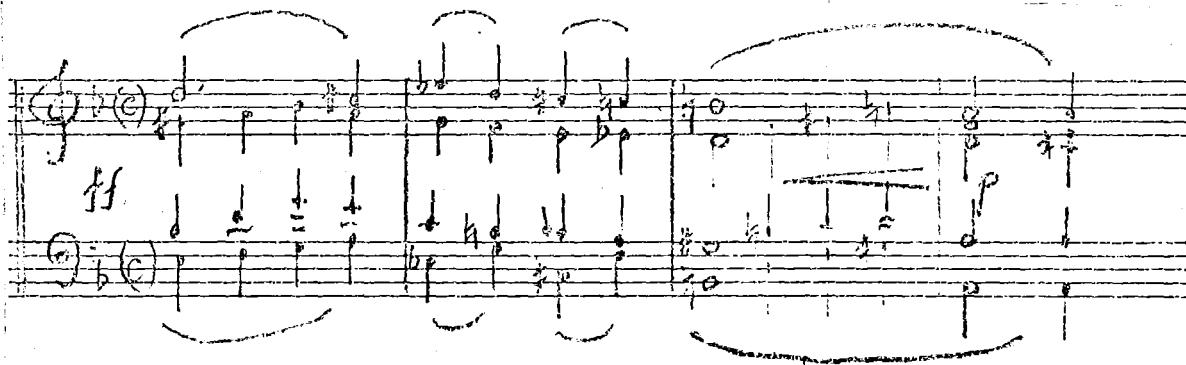
32 *Andantino grazioso* *[Andante con moto]*
Più lento

The musical score is handwritten and consists of two staves. The top staff is in treble clef and the bottom staff is in bass clef. The key signature has two sharps (F# and C#). The time signature is 3/8. The score begins at measure 32, which is marked 'Andantino grazioso'. Measure 33 is marked '[Andante con moto]' and 'Più lento'. The music is composed of chords and single notes. In the bottom staff, Roman numerals are written below the notes: X, V, I, B, II, V, II. A 'P' (piano) dynamic marking is present in measure 33.

op 7: 3-3-1



op 4: 6-2-1



If Brahms's tendency towards a more harmonically adventurous scheme finds any true successor in this period, it is in the thematic designs of Reger. Set besides comparable themes in Schoenberg's op. 7, Reger's themes stress many more degrees. However, these generally arise through abrupt juxtaposition, which destroys rather than confirms the sense of balancing regions within a theme and direct comparison is hardly possible. Reger's String Quartet op. 54/1 furnishes evidence of the more continuous harmonic structure than in the subsequent works and shows the Brahmsian fluidity from which he soon developed his idiosyncratic methods.

It is noteworthy that Zemlinsky showed as little interest in this aspect of Brahms's work as in his long-term planning. None of his main themes shows any regional interest, attention being drawn rather to his very Brahmsian mode of harmonic inflection, as for example, in his use of the minor submediant chord and of the Neapolitan relationship in Theme 1a of the Clarinet Trio (bars 7 and 3). The latter recalls Theme 1a of Schoenberg's own Clarinet Trio, forementioned, whose equally Brahmsian texture and figuration reflects their common background (p. 307):

Allegro ma non troppo

mf *Con moto* *espresso*

legato

p

diminu.

PART THREE

SECTION FOUR

CONTRAPUNTAL RELATIONSHIPS

Although Schoenberg's published writings on counterpoint are of limited scope, providing scant illustration from the repertory, some indication of the great importance of the subject to him can be gauged from its role in the works under discussion. Indeed, the following examples help to identify some of the features which he would doubtless have stressed in his projected writings on the role of counterpoint in homophonic music. Since the parallels with Brahms are strongest in this field, it may be considered first. Relations between purely contrapuntal compositions offer less scope for discussion and will be considered in conclusion.

Schoenberg's remarks on the role of counterpoint in homophonic composition suggest two main areas as warranting particular attention: namely, its uses in passages of development, whether formal sections or transitions and closing groups which involve elaboration, and in passages of exposition. Within these areas, central distinctions can further be drawn between contrapuntal variations and the combination of themes and, with particular reference to the structure of accompaniments, the roles of real, semi and quasi-counterpoint. Whilst Schoenberg made no significant references to the contrapuntal aspect of accompaniments, aside from the use of formal devices, remarks by Wellesz serve to illuminate his attitudes to Brahms's methods and their links with his own.

The importance of contrapuntal relationships in the context of homophonic composition is immediately apparent in the D major Quartet. Whilst the development sections of both outer movements follow similar methods, employing not only thoroughgoing imitation but also contrapuntal variation, that of the first movement attracts

prior interest through the complexity of its first part, from bars 97 - 123.

(APPENDIX EXAMPLE 18)

Bars 97-100 present imitation of Theme 1a by inversion at the distance of one bar, followed, at 101-5, by an almost complete four part imitation of CG 1 at the octave and fourth above. This complete passage is then treated with slight variation in double counterpoint a tone higher. Having explored contrapuntal relationships, Schoenberg then varies temporal relationships, subjecting CG 1 to stretto at the half bar (113-6) and then reduces the theme to three-quarters of its length, stretto at one bar achieving the same end of increasing motion towards the first major cadence point at bar 124. While the latter part of the development also employs invertible counterpoint, its application is not as extensive.

Consistent with the character of its rondo theme, the development section of the Finale is not of comparable weight with that of the first movement. However, it follows similar methods. Thus, the transition from the second statement of Theme 1a to the development proper (bars 106-117) applies stretto to the latter part of this theme, whilst the main development subjects two motives (a) and (b) to double counterpoint, (b) answered both literally and in inversion.

(APPENDIX EXAMPLE 19)

The rigour of Schoenberg's working finds very few parallels outside specifically contrapuntal compositions in the chamber music of the later 19thC. That the procedures may have been prompted

by Brahms is suggested by a feature of the transition passage of the Finale in question, whose motive and its four-part imitative treatment in rising sequence quote almost exactly from the transition to the coda of the Finale of Brahms's Piano Quartet op. 25. Schoenberg takes advantage of the passing identity between his theme and that of the central part of Brahms's movement, from bar 313:

76 310

320

più sempre e animato

più sempre e animato

più sempre e animato

330

E.E. 4577

101

108

115

E

However, whilst these methods are undeniably Brahmsian, Brahms's own applications of them are generally much more subtle. It is rather to his earlier works, occupying an analogous position in his output, that one must look for the origins of his technique. Although the String Sextets opp 18 and 36 are of much greater

artistic maturity than Schoenberg's Quartet, they represent his first published essays in chamber music for strings alone. While Brahms's contrapuntal skills were evident from his first compositions, they were first employed in free contexts only in passages of contrapuntal development, as in the fugal development of the first version of the Piano Trio op. 8 and the fughetta of the Finale of the Piano Concerto op. 15. The application of fugal devices to several ideas simultaneously, whose variation and combination permeate the entire fabric, yet without suggesting the fugal manner can be taken as representing a new impetus in instrumental music, partly stimulated by his studies of vocal polyphony. Whilst suggestions of this approach can of course be found in Brahms's predecessors, perhaps most prophetically in Mozart, they rarely rival the concentration of Brahms's methods.

Although neither of Brahms's development sections provides an exact model for that of Schoenberg, both treating one rather than two ideas, they each exhibit precedents for his techniques, though more complex in application because of the greater number of parts involved. Hence, the development of the first movement of op. 36 opens with a canon by inversion in four rather than two parts, and of considerably greater length as a consequence. However, the principle of canonic construction, and the use of a quaver figure around a recurring pitch, is common. That Brahms's development does not proceed like that of Schoenberg to employ double counterpoint of this passage is a consequence of the greater exposure afforded by the four-part treatment of the first subject.

His application of stretto is, however, as rigorous as that of Schoenberg, permeating all the figures, though changing the order of entry of the parts.

(APPENDIX EXAMPLE 20)

Though not as extensive, bars 169-172 of the op. 18 development also present a stretto of the preceding bars. Unlike the op. 36 passage, however, Brahms now employs invertible counterpoint, bars 177-9 inverting bars 173-6. He again exceeds Schoenberg in complexity of working by employing five distinct ideas, two in mirror relationship.

(APPENDIX EXAMPLE 21)

Like Schoenberg, Brahms follows the same methods in the development of his Finale, bars 208 -15 presenting inversion of a two-part unit first stated at 180-188, which is subject to yet a third contrapuntal variation at 216-221, though more freely treated.

(APPENDIX EXAMPLE 22)

These methods are absent from the Finale of op. 36 which, though imitative, is freer in treatment.

Although, as a Sextet for two violins, violas and 'cellos, Verklärte Nacht op. 4 stands in direct succession to the Brahms works forementioned, the strength of its Wagnerian inspiration might well have rendered Brahmsian methods of contrapuntal treatment and variation inappropriate to its construction. It is a measure of the historical significance of the work that Schoenberg could have retained the methods of the D major Quartet within a radically different style.

If, as Schoenberg states, the "complicated contrapuntal combination of a leitmotive and its inversion played simultaneously"¹ was promoted by the desire "to express the idea behind the poem" (SI 55) the context of its use - as the second of two stages of contrapuntal treatment, an imitation being followed by an inversion - is particularly characteristic of the abstract thinking of Brahms, as shown.

(APPENDIX EXAMPLE 23)

The passage from 20-3-1 illustrates similar principles, though not applied with as much complexity; here bar 20-3-1 provides a model for a variation in the following bar, two main parts of which are inverted in the following bar. Such systematic treatment is, however, lacking in the second development, and, viewed overall, contrapuntal devices play a relatively small part in the first development as well.

If op. 4 makes comparatively little use of the devices employed in the D major Quartet, their striking reappearance in op. 5 and, to a lesser extent, Gurrelieder, shows the extent of their significance for Schoenberg in the programmatic context. Op. 5 places immense stress on the contrapuntal principles noted in the Quartet, though now bringing them into association with the parallel tradition of the combination of themes, especially characteristic of the methods of the symphonic poem. A clear link to the earlier working processes of op. 4 is to be found, for example, in the passage from fig. 52; here a theme which in itself is very similar to the previous example is subsequently imitated by

inversion, although in this case the first voice is the inversion rather than original.

(APPENDIX EXAMPLE 24)

However, more complex devices are also employed for developmental purposes. At fig. 25 the Melisande motive is treated in stretto, such that the imitation is shown at three points of the original, following the methods shown in the developments of the Quartet. But Schoenberg now goes further by combining this imitative passage with, amongst other elements, an augmentation of the original motive at fig. 26, a Brahmsian feature, though not one apparent in the previous examples.

(APPENDIX EXAMPLE 25)

With the D minor Quartet op. 7 these methods reappear in the quartet medium, though now applied with infinitely greater resource and subtlety. Most striking are the methods in Development 2, where the 'model' for contrapuntal variation is no less than forty-one bars in length, and involves not merely the inversion of parts, as at 47-2-4 to 48-2-4 and 49-3-4 to 50-3-3-, but also their imitation, 48-3-5 using the formerly simultaneous ideas of 46-3-4.

(APPENDIX EXAMPLE 26)

The use of counterpoint to achieve climax towards a major cadence point is applied in a particularly concentrated form in the following passage. Bar 51-1-1 presents an imitation by inversion of Theme 1c, combining elements formerly stated separately,

so arranged as to displace the accent of the answering voice; the subsequent inversion of the passage shows further accentual displacement. The passage from 51-2-3 to 51-3-2 combines imitation of Theme Tr 1 with the imitation by inversion of Theme 1c, the ensuing passage again inverting these relations.

The methods of Development 1, are of less scope. Hence the combination of Themes 11b and Tr 1 at 18-4-5 is inverted with its accompanying parts after six bars, 20-1-5 to 20-2-5 and the ensuing stretto is applied to phrases of only two bars in length, from 20-2-5 to 20-4-5. A particularly intense passage appears at 20-4-5 to 21-2-4, where a five-bar model is itself built from a single bar which is repeated in transposition and diminution and inversion, the parts then being inverted.

(APPENDIX EXAMPLE 27)

The same principle is at work in the following passage, 21-2-5 to 22-1-3, which leads to the major combination point at fig. c.

Prominent as contrapuntal devices appear in these developmental sections, it is in their roles within expository sections that Schoenberg's allegiance to Brahms is perhaps most significantly displayed. Consistent with the principle of constant variation in Brahms's work, contrapuntal devices are almost as characteristic of his transitions and closing groups as of formal development sections, not least involving invertible relationships. Given Schoenberg's devotion to the same principle, his prominent use of expository elaboration is to be anticipated. Invertible counterpoint may be seen as functioning in two ways. The most radical type involves the inversion of the outer parts, where a subject comprises two distinct melodic elements which can equally serve as an upper or lower part. Inversion of the upper parts only, the bass being retained, obviously represents a simpler type. The strongly contrapuntal nature of many of Brahms's thematic conceptions led inevitably to the contrapuntal variation of his expositions. Notable examples are provided by the first movement of the First Symphony op. 68, whose first subject and closing group theme are inverted, in bars 51-63 and 161-176 respectively.

(APPENDIX EXAMPLE 28)

These examples obviously stand in considerable contrast to such a passage as that from bars 115 - 137 of the closing group of op. 18 - 1, whose outer parts seem harmonically determined to a much greater extent.

(APPENDIX EXAMPLE 29)

Schoenberg's works show the gradual absorption of these devices. Despite its pervasive imitation, they are not significant in the Presto in C, but are clearly apparent in the working detail of the D major Quartet, if not yet to any great extent. For example, the transition of the first movement, from bars 21-28, merely inverts the upper parts in phrases of two-plus-two, treated in sequence. Whilst bars 33-36 do invert the outer parts, the original bass is of a simple nature. Where more melodic outer parts are present in a subject, as in the second subject of this movement, the inversion is not strict, as at bars 47-50 and 65-72.

(APPENDIX EXAMPLE 30)

As in its formal developments, real counterpoint plays only a small part in the expositions of op. 4, only two passages of strict inversion above a fixed bass being notable: namely, from 6-1-1 to 4 and 14-3-1 to 2. In contrast, op. 5 provides many illustrations of the principle. For example, the Melisande motive at fig. 1 is soon subjected to stretto at fig. 2 and many less overt contrapuntal relations are present in other themes.

(APPENDIX EXAMPLE 31)

With the exposition of op. 7, contrapuntal devices appear in the chamber medium to an extent quite unprecedented in Schoenberg's earlier works. They arise as a consequence of the strongly contrapuntal character of the main themes. Hence, for example, the preliminary elaboration of Theme 1a from 5-2-4 inverts the outer parts strictly for eight bars. However, this passage is

merely an introduction to much more complex combinations of original or derived ideas in the ensuing bars through to the recall of Theme 1a at 8-1-3. A particularly notable example appears from 6-1-1 to 6-2-3. Not only is a two-bar unit restated in inversion, but all the parts are inverted. Furthermore, the unit presents a combination of the original and diminished forms of the same idea.

(APPENDIX EXAMPLE 32)

If such rigour of working is unprecedented in its particular context, the principle is clearly to be observed in Brahms. Hence, the second subject of the first movement of the String Quartet op. 51/1 is immediately repeated with variation which involves the inversion of a two part unit; this is followed by the simultaneous statement of the original and inverted forms of another element, succeeded in turn by a stretto of yet another element (Bars 32-53).

(APPENDIX EXAMPLE 33)

The extent to which the detail of Brahms's working methods permeated Schoenberg's thinking can be illustrated with particular clarity through reference to the structure of his accompaniments. Consistent with Schoenberg's stress on the superiority of real as opposed to quasi counterpoint in this context, his own accompaniments generally exhibit the former relationship.

It is possible to observe two basic procedures in the

works in question; on the one hand, the application of contrapuntal devices to the theme itself; on the other, to independent features deriving from earlier material. Both methods can be found in Brahms, whose accompaniments gradually evolved to a state of the utmost motivic and contrapuntal subtlety in his last works.

Brahms's contrapuntal treatments of the theme itself vary between extensive strict imitations which may be classed as canons and the use of derived motives which involve rhythmic variants. The latter is naturally the more common method, since it offers the greatest flexibility. Although examples are to be found before Brahms, the regularity of his usage would have provided Schoenberg's prime stimulus. Brahms's imitations may appear at the outset or in the course of the subject and employ the original or inverted form, the latter almost as common as the former. The second subject of the Clarinet Trio op. 114 provides an example of imitation at the outset, the first subject of the String Sextet op. 36 of imitation in the course of the theme:



Allegro non troppo

p *pp* *pizz* *arco*

Brahms's use of more extended imitation varies between the simplest form of imitation, that involving the resting of one part whilst the other moves, and genuine canons, including canons by inversion. The latter are especially characteristic of his last works and examples are provided in op. 114. The second statements of the second subjects of the outer movements both present canons of some length by inversion.

p *pp* *pizz* *arco*

Whilst Schoenberg does not attempt to match such ingenuity, simpler imitation appears in both the D major Quartet and op. 4. The second statement of the second theme of the Finale of the latter presents a literal imitation for two bars with a free continuation stated twice, which Schoenberg would have classed as semi-counterpoint.

65

pp

pp

pp

pp

71

C lebhafter

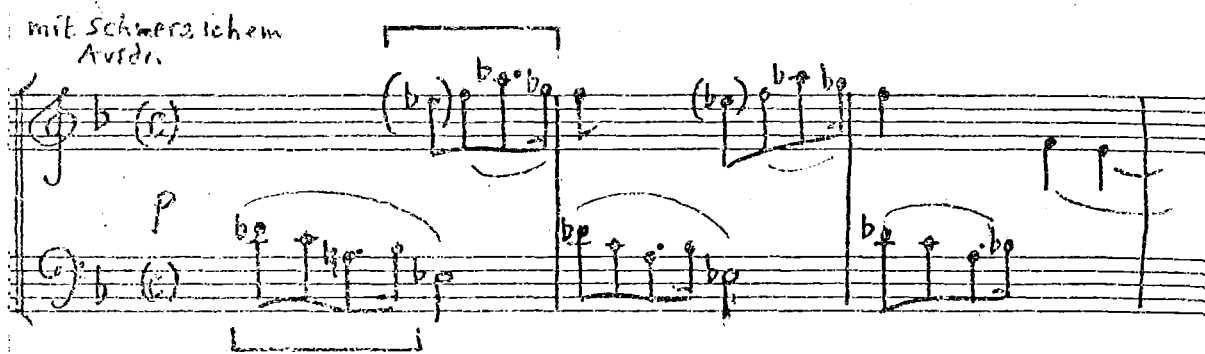
pp

pp

pp

pp

Op. 4 intensifies this procedure, introducing an imitation by inversion of Theme 11a(1). Although obscured by octave transposition, the basic relationship of the responding phrase at 7-1-5 is that of imitation by inversion, though only applied to a brief motive.



It is a measure of the contrapuntal inter-relationships of op. 7 that the contrapuntal variation of themes and their combinations with other themes completely usurps the role of derived accompaniments in securing unity. While the procedure derives ultimately from the accompaniments of themes by other motives, its application is on a much more elaborate scale, as shown.

Elements which do not derive from the theme itself derive from two sources in Brahms's works; namely: from the passage immediately preceding the theme, normally the transition, and from the principal subject itself. The former is by far the more common, providing a parallel to the relationship which so often exists between a subsidiary theme and its immediately preceding phrase or passage, as, for example, in the Piano Quintet op. 34:

[Allegro non troppo]

f

dolce p. espress.

22

A characteristic example of the derivation of an accompaniment figure is to be found in the first movement of op. 73, whose second subject accompaniment figure appears early in the transition.

Though the imitation of this figure in the second subject itself preserves its rhythm, it preserves only the shape rather than the exact intervals of the figure and would, on these grounds, be classed as employing semi counterpoint by Schoenberg.

[Allegro non troppo]

59

f

etc

82

p cantando

Such a passage provides an obvious model for the second subject of the D major Quartet, which employs two-part imitation which similarly begins exactly and becomes freer; the motive is prominent in the transition, though also clearly derived from the first subject:

The image shows a handwritten musical score for a string quartet, consisting of four staves. The tempo is marked "Allegro molto" at the top left. The key signature is D major (two sharps). The score includes various musical notations such as notes, rests, and slurs. Performance instructions are written in italics: "ff" (fortissimo) on the second staff, "a tempo" on the third staff, "rit" (ritardando) on the first staff, "dim" (diminuendo) on the third staff, "p. dolce" (piano dolce) on the fourth staff, and "etc" on the third staff. The notation is somewhat sketchy, with some notes and slurs appearing to be added or corrected.

While such methods are not characteristic of op. 4, a more thoroughgoing contrapuntal combination being reserved for one point at Fig R, a single example of motivic accompaniment is provided by Theme IIa(2) which intensifies the Brahms method by accompanying the basic theme, in the first cello, by two motives derived from preceding passages.

26

Sehr breit und langsam.

Musical score for piano, measures 243-246. The score is written for five staves (treble and bass clefs). The tempo is marked "Sehr breit und langsam." (Very broad and slow). The key signature is one sharp (F#). The score includes various dynamic markings and performance instructions:

- Measure 243: *mf*, *mf*, *mf*, *mf*, *mf*.
- Measure 244: *weich* *p*, *weich* *p*, *mf*, *mf*, *mf*.
- Measure 245: *pp*, *pp*, *pp*, *pp*, *pp*. Performance instructions: *press.*, *press.*, *press.*, *press.*, *press.*.
- Measure 246: *pp*, *pp*, *pp*, *pp*, *pp*. Performance instructions: *press.*, *press.*, *press.*, *press.*, *press.*.

The score is marked with "M" above measure 245 and "p 246" below measure 246. The word "cresc." appears multiple times in measures 245 and 246.

In conclusion, attention should be drawn to a related feature of Brahms's accompaniments which is apparent in Schoenberg, namely, a particular form of rhythmic counterpoint. The strongly Brahmsian effect of the second statement of the second subject of the finale of the D major Quartet arises not merely from the rhythmic contrast achieved through the imitation of an already Brahmsian motivic theme, but through the further rhythmic contrast of the triplets in the viola part, set against quavers in the second violin. Of the many parallels which might be cited, the main theme of the slow movement of the Clarinet Quintet op. 115 is perhaps the closest in its use of imitation, though here in the upper parts, and may be compared with the more common type represented by the second subject of op. 51/2 :

Adagio

p dolce
con sordino
con sordino p dolce
p
con sordino
con sordino
p

B

molto p e sempre mezza voce, grazioso ed animato
molto p e sempre mezza voce, grazioso ed animato
molto p
plzz.
p

11366

The use of the device for purposes of variation, as in the Schoenberg example, is found in the recapitulation on of op. 67 -111.



Although he has no occasion to analyse the D major Quartet, Wellesz draws attention to the influence of the device in the later Schoenberg works, albeit from a more limited viewpoint. Hence, presumably under Schoenberg's influence, he points to Brahms's use of "the combination of a four beat rhythm with triplets in the viola or the 'cello, which produces a 'clair-obscur', a manner of writing which, particularly in the D minor Quartet, makes it difficult to follow the music at a first hearing"³ Examples of this feature can be found in themes of contrasting character; for example: Theme 1a at 8-1-3 and Theme A of Part Three at 57-3-1:

8-1-3

Zeitmass.

ff rit. p

ffp

am Steg. gewöhnlich

pp mp

Wellesz further stresses the use of this method in Schoenberg's op. 5 (Ibid) The passage at fig 5 of the latter work relates clearly to the op. 115 theme in its use of duplets as well as triplets in one part, whereas the two main variants of the main theme of op. 7 maintain constant triplet patterns.

5 Sehr warm, in breiter Bewegung

I. Gge. For G Saite sehr ausdrucksroll D Saite

II. Gge. G Saite sehr ausdrucksroll

Br.

Vcll.

Klrbes.

U.E. 3371

Wellesz could equally have included op. 4 in his comments.

Although the spacing of parts and sonority are unlike the other examples mentioned, the principle of enlivening the texture through triplets, here the more important because of the frequently slow harmonic rhythm, is central to the style of the entire work. Friedheim suggests that the accompaniment of Theme 111(1) "suggests similar passages by Brahms such as the second movement of op. 115".⁴

While the analogy is a fair one, he could in fact have taken it much further since, unlike the Schoenberg passage, but like both the Brahms passages and most of the accompaniment of op. 4, Brahms varies the natural time divisions of the metre in use.

13

Etwas ruhiger.

The musical score consists of two systems, each with six staves. The first system is marked *Etwas ruhiger.* and contains many triplets. Dynamics include *pp* and *ppp*. The second system begins with *rit.* and includes markings such as *dolce*, *warm*, *passion*, and *cresc.* at the bottom.

If the principles of Brahms dominate one aspect of Schoenberg's contrapuntal methods, that relating to the devices of strict counterpart, his stimulus is much less apparent in an equally important sphere of contrapuntal activity: namely, thematic combination. Brahms's contrapuntal art was directed very largely towards the derivation of variants from a basic idea and their subsequent combination and contrapuntal variation. Only rarely does he superimpose discrete themes, as, for example, in the last movement of the String Quartet op. 67, where the opening theme of the work is combined with the variation theme of the Finale. In such cases, however, the added element is invariably brief and motivic, capable of great flexibility as an accompanying, rather than equal, voice. The most often quoted example of thematic combination in Brahms, that of the first subject and transition theme at the recapitulation of the first movement of the Second Symphony op. 73 cannot be regarded as superimposition proper, since the transition theme is itself a counterpoint to the first subject, arising through variation, a relation which is not, however, fully revealed until the recapitulation. The superimposition of formerly independent themes which is to be found throughout Schoenberg's op. 7 and, though only towards the end, in op. 4, belongs to a different tradition in the late 19thC, and finds a particularly notable expression in Strauss's Ein Heldenleben op. 40; the passage from fig. 85 brings a number of themes from his other works

into overt contrapuntal relationship for programmatic purposes. Although the themes combined in Schoenberg's single-movement works do not derive from his other works, the principle of combining formerly discrete themes is common. There is no earlier relationship between Introduction Theme 1 and Theme 111(2) of op. 4, whose combination at fig. U (44-3-1) serves programmatic as well as formal ends, the opening theme now appearing in the major key as part of the symbolization of transfiguration.

(APPENDIX EXAMPLE 34)

Having employed the technique for programmatic ends, however, it was subsequently employed for solely structural ends in op. 7. Schoenberg progressively combines themes of the principal exposition with both each other and with themes of the other movements, thus achieving a remarkable degree of cohesion. However, whilst relatively overt combinations are conspicuous throughout, by far the bulk of Schoenberg's thematic combination is of much more covert nature, with fragments of motives brought into constantly changing relationships. If the extent and variety of this method is Schoenbergian, it derives from methods which were common to his early models. Already in the latter part of the first development of the D major Quartet his preoccupation with the combination of formerly discrete fragments is to be noted, relating principally to Dvorak. Brahms's derivation of thematic accompaniments is extended

by Schoenberg to the purposes of longer-term unity in the passage of thematic combination at fig. R of op. 4; this is presumably the passage which Schoenberg had in mind when he referred to the "Schoenbergian elements" to be found in the "contrapuntal and motival combinations" of the work (SI 81). It becomes quite impossible to distinguish between the variants by diminution characteristic of Brahms, the combination of rhythmically contrasted motives of Dvorak and "the expressive transformation of themes" which he associated with Wagner, in the procedures of op. 7.

Schoenberg's relation to Brahms again comes into clearer focus when his methods are compared with those of his contemporaries, especially Reger, the extent of whose contrapuntal thinking and tendency to generate harmony through contrapuntal means was perhaps unrivalled other than by Schoenberg himself in the period under discussion. Despite its polyphonic conception, however, Reger's part writing in the early quartets very rarely involves real counterpoint. Consistent with the quality of musical prose observed by Schoenberg, Reger's contrapuntal methods are almost entirely free; parts, though transposed to different voices, are rarely inverted, and the frequent imitation is almost invariably semi strict or free. Reger differs from Brahms, and

reveals himself much more traditional in his use of counterpoint, by restricting his use of real counterpoint, almost entirely to the fugal movement which concludes Quartet No. 1. The infusion of the devices of multiple counterpoint, strict imitation and stretto into developments, to say nothing of expositions, is as foreign to Reger as to Dvorak. If the characteristic contrapuntal feature of Dvorak's developments is motivic combination, that of Reger is the elaboration of the already full detail of his parts.

It is rather Zemlinsky who inherited Brahms's working methods. The exposition of the first movement of the Quartet op. 4 already reveals invertible counterpoint in the first subject, bars 7-8 inverting 5-6 strictly:

Allegro con fuoco. Alexander Zemlinsky, Op. 4.

Violine I.

Violine II.

Bratsche.

Violoncell.

expr.

p dolce

p dolce

p dolce

p

Whilst the counterpoint in the development of this movement is never as complex as in the Brahms and Schoenberg examples, it is still pervasive, apparent at the outset in two parts and subsequently appearing in stretto as well as employing frequent inversion.

(APPENDIX EXAMPLE 35)

Zemlinsky's treatment of the accompaniment reveals similar influences. The process of liquidation which produces the accompaniment figure of the second subject of the movement finds a direct parallel in Brahms's Second Symphony, first movement. This method is not employed by Dvorak, nor Reger, despite the latter's use of liquidation in the preparation of second subjects. Only in his use of invertible counterpoint in the canon on the second subject of Quartet 1 does Reger reflect Brahms's methods.

(APPENDIX EXAMPLE 36)

His use of counterpoint in variation shows a similar independence of the Brahms tradition.

In turning, in conclusion, to Schoenberg's relationship with Brahms in the sphere of strictly contrapuntal composition, particular attention is attracted by their shared interest in the writing of canons. In contrast, there exists insufficient material to effectively relate their attitudes concerning the more complex subject of fugal composition.

The bulk of Schoenberg's canons are contained in the collection of thirty drawn from the Schoenberg archive⁵. They can be supplemented by works existing within published compositions, for example, the five appended to the Drei Satiren, op. 28, or as yet unpublished, as is the single canon from the Nachod Collection (No. 95); it may be reasonably assumed that others still wait to come to light. Although only four canons date from the period under discussion, Rufer's collection may be taken as indicating Schoenberg's interests, since all its contents are tonal.

Schoenberg's canons employ a wide range of techniques and may be divided into three classes; namely: simple, double and more complex canons, including mirror, clef and key canons, many presented as 'riddle' or 'enigmatic' canons. Despite Schoenberg's acknowledgement of Brahms's precedent in this sphere, it remains difficult to relate their techniques fully, since considerably fewer canons of comparable interest by Brahms are available. Unlike Schoenberg, Brahms destroyed almost all his sketches and exercises and it may be surmised that many particularly ingenious examples, in which, however, he found no aesthetic merit worthy of preservation, were amongst them. Only in the collection which appeared in the Complete Edition of 1926 - 8 - which included some posthumous

as well as some garnered from odd published sources without opus number - did an indication of the scope of his methods become widely apparent, although it could certainly be guessed from some of the canons included in earlier choral works, though not so titled, such as the Drei Geistliche Chöre, op. 37 and the Lieder und Romanzen op. 44. Most of Brahms's canons date, like these, from his choral activity in Hamburg in the 'Eighteen Fifties, when he was particularly attracted to the device and worked to master every aspect of it. To what extent Schoenberg was stimulated by these works is an open question. His technique was certainly established by the time of the appearance of the Complete Edition. Of the thirteen canons which were published with opus number and were thus easily available in Brahms's lifetime (13 Kanons, op. 113, 1894) only two might have provided a prompt to specific devices; namely: No. 6 (by inversion) and No. 13 (a four-part canon accompanied by an independent two-part canon). The remainder of Brahms's collection is striking in its simplicity, both in material, which draws on folksong, and treatment, either at the unison or octave. While the melodic style of these canons might well have influenced Schoenberg, his simple canons do not adopt this manner. The only point of contact is provided by their common uses of the folksong 'Schlaf, kindlein, schlaf', which, however, bear no relation to each other; Schoenberg merely uses the first phrase as a coda to the canon 'Mr. Saunders' (No. 26) while Brahms uses the entire theme in a different form (No. 4).

Whatever the nature of Schoenberg's relationship to Brahms in the writing of canons, whether based on the study of models or

the response to the principles and spirit of Brahms's approach, the large number of canons written for instruments rather than voices, and the frequent attribution of the more complex of them to Netherlands influence, sometimes involving archaic presentation, shows that a much broader influence was present; indeed, the seeming lack of canons of any complexity until 1905 suggests the stimulus of Webern's work on Isaac as a primary factor in arousing Schoenberg's deeper interest in the subject.

As regards non-vocal canons, Schoenberg's constant reference to Bach's Art of Fugue, Musical Offering and Canonic Variations shows the bias of his interest. For all Brahms's own interest in these works, he left no models within Class 3 which are comparable with Schoenberg's mirror canons Nos. 9, 11, 16, 27, or the four part clef and key canon with free accompaniment, based on his initials, No. 6. All that survives is a single clef canon, "Wann" notated as a riddle canon, though simple of resolution, at the fifth below. (CE/21 p. 192).

Although there seems no question of direct influence, it is interesting to outline the canons of Brahms and Schoenberg in Classes 1 and 2, where relationships are naturally closer. Brahms shows a preference for single canons by inversion which is not shared by Schoenberg. Brahms left four such canons, No. 6 of op. 113 and 'O wie sanft' (CE 21 p. 191), 'O bone Jesu' and 'Regina Coeli' (op. 37/2 and 3), Schoenberg none. Both composers present double canons and double canons by inversion, though of different kinds. Schoenberg's double canon by inversion (No. 29) is of considerable complexity; the first canon is at the fifth below, the second,

an inversion of the first, at the fifth above, whilst each of the four parts moves steadily back and forth in cancrizans after every $2\frac{1}{2}$ bars. Brahms's example, 'Zu Rauch' (CE 21/ p. 157) is built on distinct subjects by comparison and adopts different intervals for the two canons, at eleventh below and sixth above respectively. Despite the extreme simplicity of the simple canons in Brahms's op. 113 collection, the simple canons of the posthumous collection exceed those of Schoenberg in complexity. Schoenberg's preference in 3 and 4-part canons is for answers at the octave and fourth below, four examples existing, while single examples exist of canons at the octave and fifth, third and seventh, fifth, seventh and eleventh. Brahms uses alternation with the octave in only one case, Märznacht (op. 44), preferring answers at progressive fifths, as in Töne, lindernder Klang (CE 21 p. 156), at fourths and seconds, as in Adoramus Te (op. 37/1), or successive minor seconds descending, as in Mir lächelt kein Frühling. (CE 21/p. 189).

PART THREE

SECTION FIVE.

FORMAL RELATIONSHIPS

Schoenberg's particular interest in Formal Relationships of the second kind noted in Part Two, concerning long-term unity, is equally clear in his own works. Indeed, some of these works are particularly dominated by an additional factor hardly discussed in his writings: namely, the inter-connection of movements. In contrast, relationships of the first kind, concerning the schematic designs of individual movements, attract relatively little attention, although certain important parallels must still be drawn. Discussion of long-term relationships therefore centres upon two areas: Schoenberg's use of the Grundgestalt and the historical background to the inter-connection of movements.

Both aspects of the Grundgestalt which Schoenberg associated with Brahms - namely, the use of a recurring shape and the derivation of a key scheme from a motive - are significant in the works under discussion. Of these, the first has the most apparent importance. Discussion must proceed from Schoenberg's own references to the thematic transformation of op. 7, no comparable discussions surviving concerning op. 4 or the D major Quartet.

Schoenberg quotes four clear transformations: in Part One of Theme 11b and two lesser variants from Theme 11a; in Part Two, of Theme 1a from the preceding transition theme Tr 1:

Handwritten musical notation on page 349, featuring several staves with notes, rests, and dynamic markings. The notation includes various accidentals (sharps, flats, naturals) and articulation marks (accents, slurs).

The notation is organized into sections, each labeled with a title above the staff:

- II_{or}**: The first section, consisting of two staves. The top staff contains a melodic line with slurs and accidentals. The bottom staff contains a bass line with vertical strokes and slurs.
- Transf. (a)**: The second section, consisting of one staff with a melodic line.
- Transf. (b)**: The third section, consisting of one staff with a melodic line.
- II_b**: The fourth section, consisting of two staves. The top staff contains a melodic line with slurs and accidentals. The bottom staff contains a bass line with vertical strokes and slurs.
- Tr. 1**: The fifth section, consisting of one staff with a melodic line.
- Scherzo I_a**: The sixth section, consisting of two staves. The top staff contains a melodic line with slurs and accidentals. The bottom staff contains a bass line with vertical strokes and slurs.

Although these examples are only presented to give a superficial outline of the main thematic links, they provide a valuable illustration of Schoenberg's preoccupations in this field. However, any

immediate connection with his remarks on Brahms is not apparent. Whilst certain shapes recur and are subject to variation, he does not point out exact repetitions of the kind he found implicit in Brahms. Although such elements are certainly present in the passing detail, Schoenberg's methods reflects broader stimuli. Indeed, the "expressive transformation" of themes characteristic of op. 4 represents as strong a stimulus here as does Brahms's art of motivic variation, especially in the most overt examples.

Whilst both exact repetitions and 'expressive transformations' are to be identified in op. 7, the broader question of the role of a basic shape poses far greater problems of clarification. In my view, the unifying role of the first subject is to be understood as much in contrapuntal terms, as suggested. If a basic shape is present, it is only of the very general nature identified by Samson when he states that "many of the principal themes are linked by Grundgestalt with a prominent interval formation of perfect fourth and fifth or tritone presented in several permutations":²

(APPENDIX EXAMPLE 37a)

The same feature has been observed in op. 4. Friedheim notes the common use of the intervals of the minor second and perfect fifth in themes of contrasted surface appearance:³

(APPENDIX EXAMPLE 37b)

In contrast, Porter's attempt to show these themes as

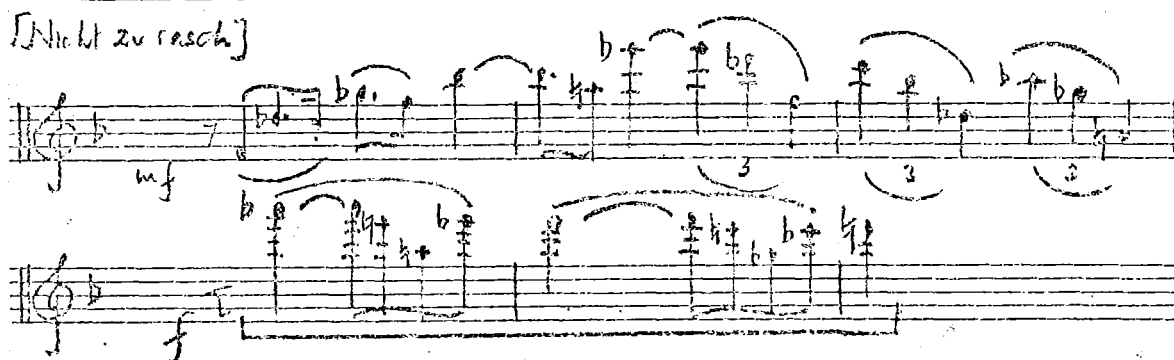
arising from a common shape seems forced relative to the kinds of examples already noted in Brahms and Schoenberg, and also partly distorts the elements in order to make its point.⁴

(APPENDIX EXAMPLE 37c)

It is, in my view, not until Schoenberg's String Quartet op. 10 that his use of shape assumes a relationship to the thinking which inspired the Brahms examples. The celebrated combination of variants at the beginning of the slow movement employs motives which, if not exact repetitions in his sense, certainly reflect this kind of thought; other aspects of the working detail, for example in the contrapuntal processes in the development of the first movement, also serve to place this work in direct relationship to the Brahms tradition.

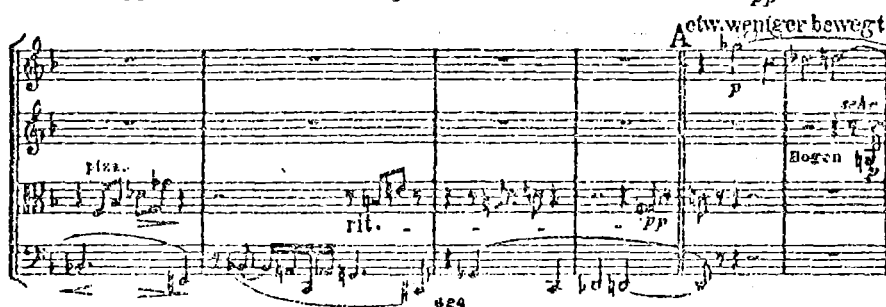
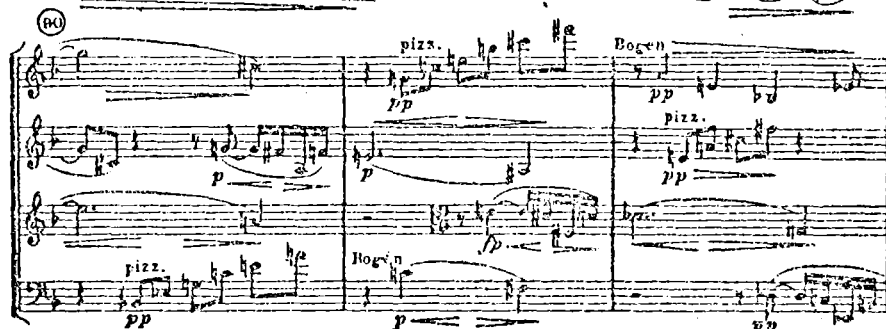
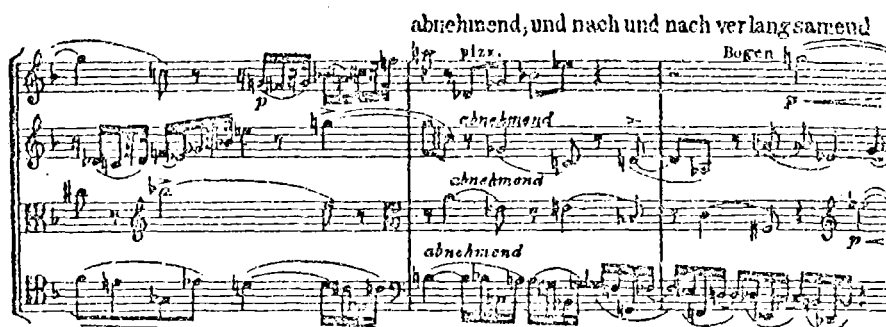
A closer relationship to Brahms in op. 7 can be observed if the themes are considered as part of a chain of evolution achieved through the process of developing variation, in which certain elements are liquidated, whilst others are emphasized in order to create new forms. The simplest method, that of building a new idea from a passing element of a preceding idea, already noted in Brahms, can be found in the themes of op. 7.

Schoenberg illustrates the derivation of Theme 11b from the tail of Theme 11a, and to it can be added the derivation of part of Theme 1b from part of 1a:

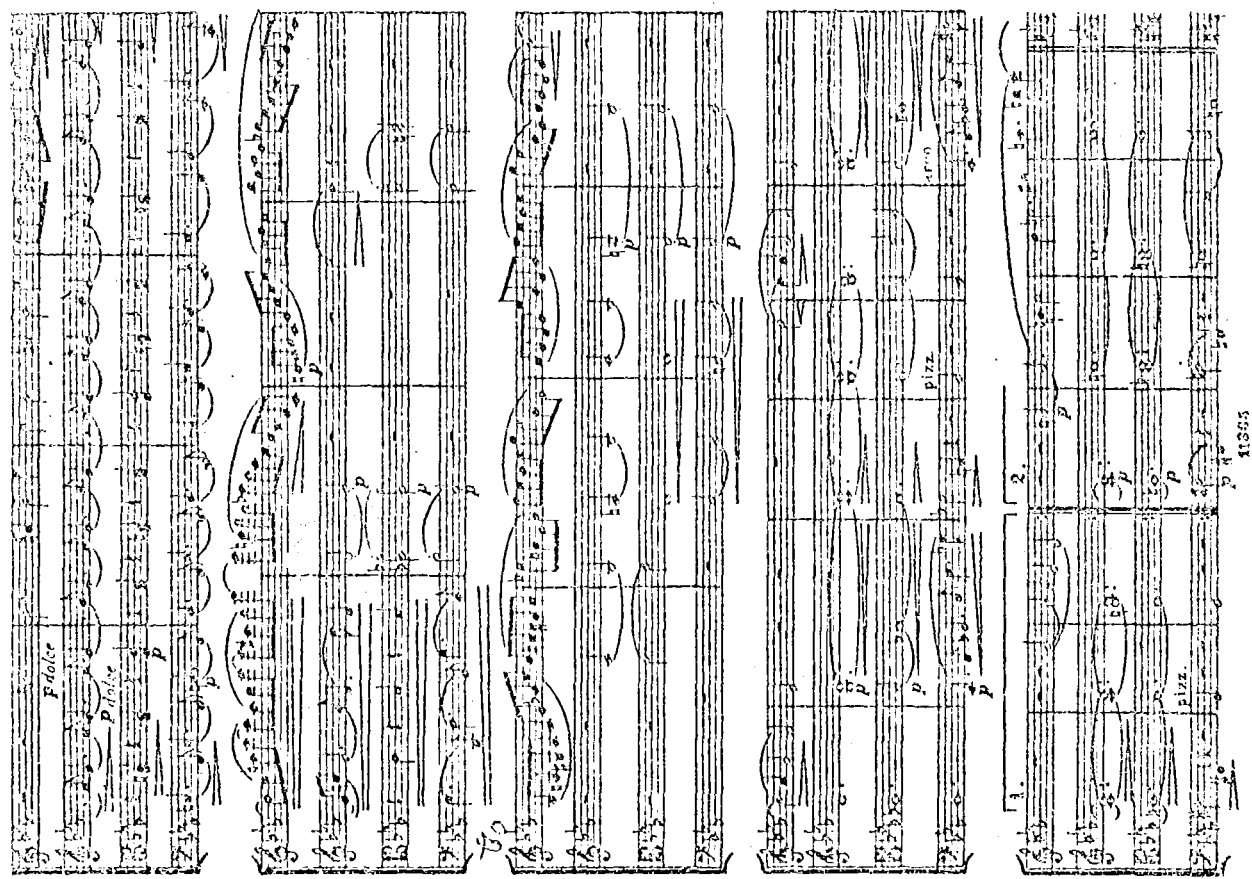


Many other examples can be cited. However, a far more subtle procedure can be identified. Whilst Brahms was not a unique stimulus in this regard, Wellesz confirms that Schoenberg was particularly sensitive to Brahms's methods in this period and he must have been a major prompt to the evolution of the concept of liquidation. "It was Brahms whose way of ... making an unnoticeable transition from the first theme to the second, influenced him in his sextet and his string quartets. I well remember Schoenberg analysing the first movement of one of

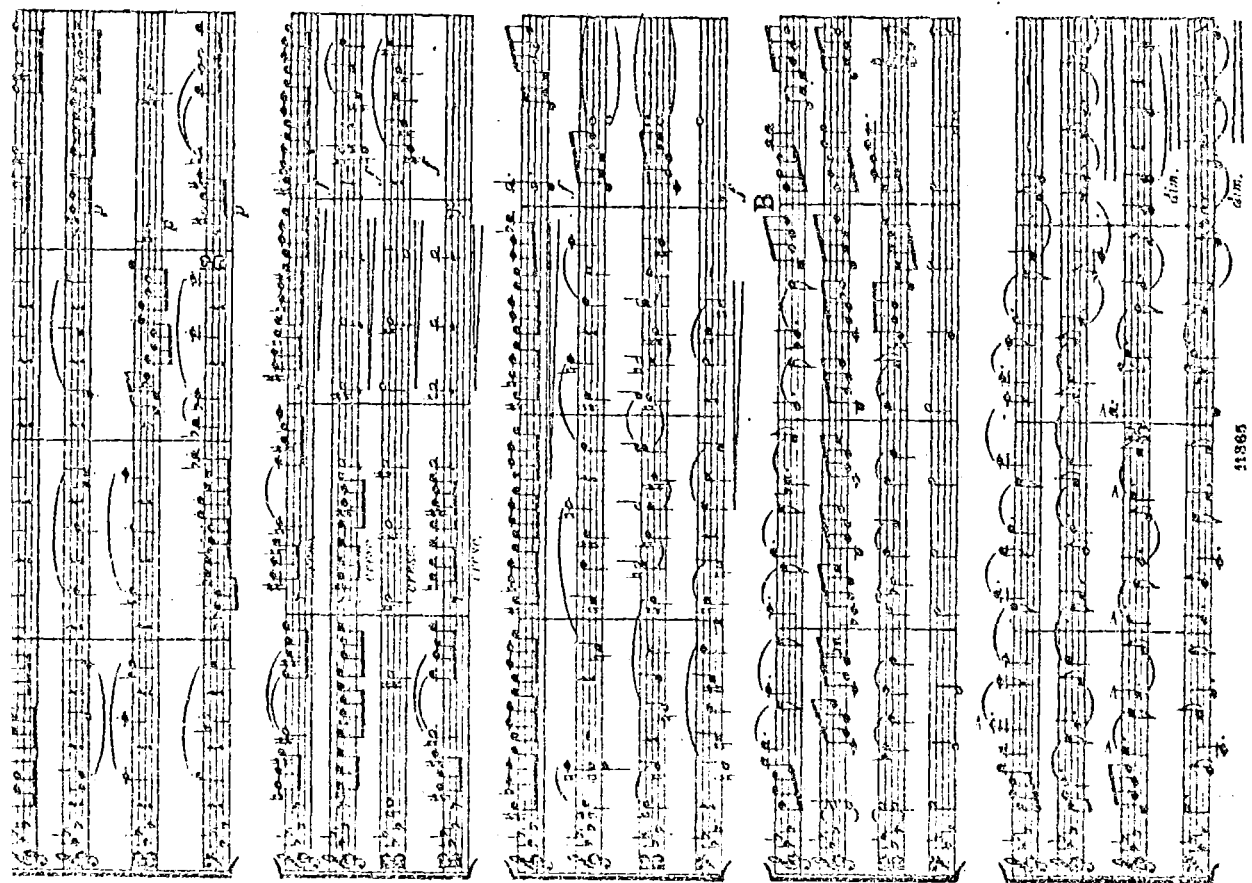
Brahms's string quartets and laying particular stress on the way in which the characteristics of the first theme disappeared step by step, while the entry of the second theme was prepared. This was actually his own method. We can notice it best in the transition section from the first to the second theme of his D minor Quartet (bars 85 - 98)"⁵



Wellesz does not cite Schoenberg's particular source and, indeed, it is by no means clear, since the quartets in question do not contain the most extensive transitions, better examples appearing in the symphonies. Given the particular character of the passage which Wellesz quotes, the clearest model is found in the transition from the second subject to the closing group of Brahms's String Quartet op. 51/1 (bars 53 - 63). The feature of Schoenberg's transition is the gradual liquidation of two main elements, the bass figure and the figure in the upper parts, the bass by diminution, the upper parts by emphasis on the rising fourth which, in original and augmented forms, severs its original association, finally accompanying a diminution of the bass figure and falling fifth from the upper parts. The extension of the falling diminished fifth by ascending semitones provides the link to the transition theme proper, itself a variant. Brahms's passage similarly subjects its bass to variation, involving diminution whilst the semiquavers of the upper parts disappear. The leaping figure of the upper parts is reduced to a two-note figure on the same rhythm over a similar restriction of the bass figure, the new subject growing out of the upper part by augmentation and extension:



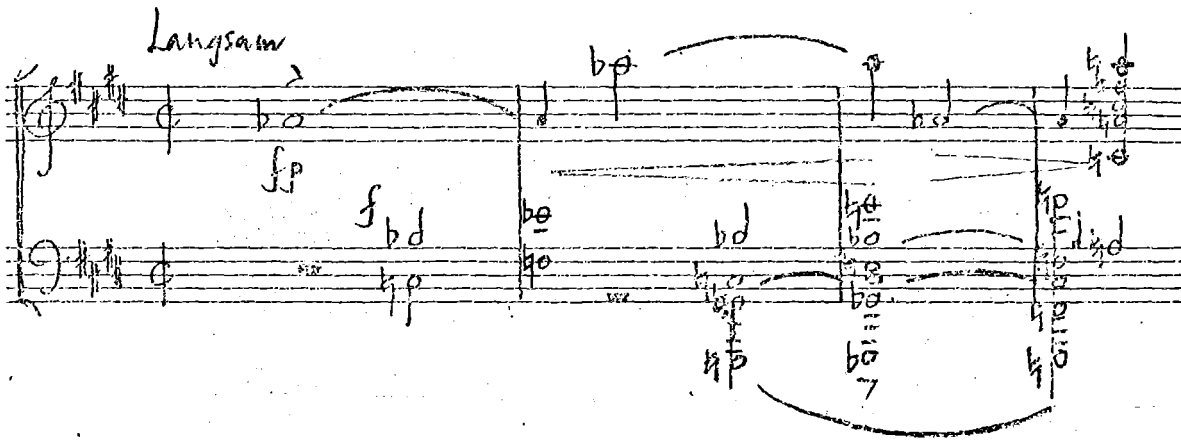
First system of musical notation, measures 1135.5 to 1136.5. The system consists of five staves. The first staff is marked *Adolce* and *pizz.*. The second staff is marked *p*. The third staff is marked *p*. The fourth staff is marked *p*. The fifth staff is marked *p*. The system concludes with a double bar line and the measure number 1136.5.



Second system of musical notation, measures 1136.5 to 1137.5. The system consists of five staves. The first staff is marked *p*. The second staff is marked *p*. The third staff is marked *p*. The fourth staff is marked *p*. The fifth staff is marked *p*. The system concludes with a double bar line and the measure number 1137.5.

As shown, a less obvious aspect of the Grundgestalt, its role in determining the key centres of a work, is illustrated by Schoenberg through reference to Brahms. However, the extent of his preoccupation with this subject in his own music is never clarified; indeed, he rather seems concerned with broader harmonic factors. "Those who examine in my First String Quartet or Kammersymphonie the relation of the keys to each other and to the incident harmony, will gain from them some conception of the demands which are made in the modern sense on the tonal development of a harmonic idea." (SI 256 - 7) The nature of these demands is, however, only generally outlined, through reference in an entirely different context to the Kammersymphonie, whose use of fourths both melodically and harmonically is well known. Schoenberg states in TH "Here the fourths ... shape themselves into a definite horn theme, spread themselves out architectonically over the whole piece, and place their stamp on everything that happens. Thus it turns out that they do not appear merely as melody or as a purely impressionistic chord effect; their character permeates the total harmonic structure, and they are chords like all others" (TH 404). The scope of this "permeation" is vast, involving multiple resolutions of the chord, changing harmonic contexts and so forth. Although the character of the 'motto' opening bears relation to that of Brahms's Third Symphony op. 90, Schoenberg does not point it out. In Schoenberg's work, the opening tonality of F minor also resolves to major, although it achieves this goal immediately, rather than at the end of the

first subject:



However, the analogies in the relation of the 'motto' to the harmonic schemes are not as direct, since Schoenberg's 'motto' is not in the tonic key of the work, E major, but its Neapolitan, F. Thus, whilst a fourth relation is apparent in the second subject, it is with the tonic (A major from E major), rather than the 'motto' itself. Similarly, whilst the role of the third is certainly important, determining the major key contrasts, G major and C minor, these are relative to a tonic which employs fourths, rather than third of the 'motto'.

Schoenberg makes no comparable reference to the nature of the harmonic unity in op. 7 and, indeed, the lack of a 'motto' or distinctive structural intervals makes it difficult, to identify an analogous relationship. Whilst, as in op. 4, the prominent

interval of the minor second is reflected in the key relationships, this is by no means dominant, and the other, independent, pitch relationships argue against this interpretation. Even in the earlier work, such relationships seem tenuous. Swift's⁶ view that the scale segment which he regards as the basic shape also determines key centres relies on selectivity and, even if accepted, does not show a relation in the order of the constituent pitches of the shape - an essential point given such a general relationship. In my view, Schoenberg only perceived the relationship in op. 90 when his own methods and concern with unity had moved beyond his earlier preoccupations, and the kind of unity he noted in his youth was of a more general and overt nature - for example, the prefiguring of important harmonic relationships within themes. The first subject of the D major Quartet makes a very clear emphasis on the ~~sub~~mediant, B minor, and its dominant, which anticipates exactly the unusual move to the key of the second subject, as well as anticipating the key of the second movement. The first subject of Brahms's op. 51/1 exerts a similar influence. Its unusual move to F minor, tending to the dominant, exactly anticipates both the opening of the third movement and the finale, consistent with the thematic recurrence at that point. Parallels with Schoenberg's op. 7 can also be found in op. 4. Theme 11a makes a notable stress on the mediant, F sharp, which anticipates the key of the second subject.

Despite the importance of the inter-connection of movements in Schoenberg's early works, his published writings contain as few significant references to the subject as to that of the Grundgestalt. If however, one aspect of the background can easily be identified, - the single-movement orchestral poem, particularly the most extensive recent examples by Richard Strauss, notably 'Ein Heldenleben' op. 40, - the Schoenberg works in question present features which are not explained by reference to this tradition alone. While Schoenberg's desire to "mirror every detail of the poem"⁷ leads to a comparatively loose formal structure in Pelleas, op. 5, the infinitely greater structural control of op. 7 points to a different tradition, that of chamber music, especially that of Brahms. Nor did this tradition merely represent the principle of abstract discipline; if Brahms never produced a single work including all the formal characters of the sonata tradition in one uninterrupted movement, he was continually experimenting with the re-arrangement of the elements of these forms, especially of sonata form. It is Schoenberg's control of such re-arrangements which distinguishes the structure of op. 7 from those of opp. 4 and 5.

Only recently has some indication of the resource of Brahms's variations of sonata form been given outlined in English writings⁸ and the subject admits of much further exploration, particularly in relation to its historical background. The area of chief interest concerns the recapitulation of the first subject in the tonic key prior to development, the recapitulation of the remaining parts occurring normally thereafter. Although

sometimes regarded as a modified sonata-rondo, especially when used in finales, the form is correctly regarded as a modified sonata form. Moreover, the process of sectional recapitulation with interpolated development is taken much further by Brahms and can be seen as a consequence of the increasing tendency to continue the development into the recapitulation in the late 18th and 19thC uses of the form. Whilst, by its nature, op. 7 could not emulate these examples, Schoenberg's awareness of them is shown clearly in op. 10. Here the development of the first movement starts with the head of the first subject in the home key, though much more freely handled, which, through its subsequent omission from the recapitulation, which resumes with the second part of the first subject, (bar 159), reveals itself as the real recapitulation of this part. Further, the consequent of the first subject (bars 8 - 12), which is omitted at this stage, is subsequently incorporated into the reworking of the first subject at the second stage of recapitulation (bar 186). Whilst the brevity and freedom of the recapitulation of the second group, if such it can be called (bars 196 - 202), finds no parallel in Brahms, the handling of the first subject finds a clear precursor in the first movement of Brahms's Piano Trio op. 101. Unlike most of the Brahms examples, this advanced case recapitulates only the head of the first subject before development, the comparable freedom of recapitulatory treatment obscuring the recall of other parts of the first subject and transition until the lyrical second subject, which is given complete.

The ways in which Schoenberg recalls the first subject of op. 7 cannot be directly compared with either op. 10 or the Brahms example, since they are determined by considerations specific to the nature of the work. Hence, the statement of the first subject at 8-1-2, which might easily be taken for a conventional recapitulation at a first hearing (second subject: 4-2-1; development: 5-3-4), is determined by the need to impress the identity of the subject on the listener before proceeding to the second part of so large a structure, the transition; the so-called recapitulation (53-2-2) fulfils a similar role, leading not to recapitulation proper but to the second major division, comprising the third and fourth movements, with the recapitulation of the second subject denied a tonic resolution in order not to anticipate the final resolution after the Rondo. Yet, in very general terms, Schoenberg's awareness of Brahms's adventurous, whilst systematic and economical, treatment of form, must have influenced the integration of his planning. As it stands, the only distinct link to Brahms's long-term planning is to be found in the coda, whose serene transformation of the dramatic opening from minor to major, its active contrapuntal movement finally stilled by a tonic pedal, finds amongst others, a direct parallel in the close of Brahms's op. 90.

Of Schoenberg's comments on formal relationships in the second sense, that of the schematic designs of Small and Large Forms, greatest interest resides, as in his analyses, in his treatment of variation form, specifically here the slow movement of the D major Quartet.

The predictable relationship between Schoenberg and Brahms in the sphere of variation technique is clearly apparent here; as may also be expected from previous observations, it is the slow movements of the two Sextets opp 18 and 36 which provide the focus for discussion. Zemlinsky's deletion of the original fourth and sixth variations of Schoenberg's movement⁹ brings the total number of variations to that of both the Brahms movements, seven. Of these models, however, it is clearly the op. 18 movement which was of prime importance, by virtue of the closer identity of phrase and harmonic structure and the treatment of the coda; Schoenberg follows Brahms in extending this to a free conclusion. In contrast, the op. 36 movement is much more sophisticated in its basic elements of harmony and phrase structure. The Sextets also provide much clearer models than that on which Schoenberg's discussion is based on FMC, the Handel Variations op. 24, with regard to the derivation and application of the motive of variation.

Only in two variations can Schoenberg be reasonably considered to employ a distinct motive. In var 2 the falling semitone which opens the model provides the basis of the falling and rising seconds which characterize the bass part and are taken up more freely in the first violin at bar 21, influencing each

voice in the second part. Similar shapes pervade the entire texture of var 4, though no longer in simple elaboration of the main lines of the model. The other motives are of a much more general nature, realizing the harmony through arpeggio or scalar figures in vars 3 and 4. The procedure is very much like that of op. 18, vars 1 and 3 drawing on arpeggios and scales respectively. Only in var 3 is a definite motive deducible from the theme, similarly, from the initial figure, though not used throughout.

(APPENDIX EXAMPLE 38)

In contrast, the methods of Brahms op. 36 are more subtle, reflecting the methods of op. 24 and pointing to the economy of Brahms's later variations, not least in the use of diminution and augmentation of the original lines given in invertible counterpoint in var. 1. An exception can perhaps be made in the case of Schoenberg's var. 4, whose pervading use of its motives is closer to Brahms's later methods, for example var. 3 of op. 36. The close link with op. 18 is also clear in Schoenberg's major variation, No. 5, whose texture, with a static bass at the outset and octave figure in the upper part framing a completely free melody, is similar in principle to var. 5 in Brahms's movement; in contrast, Schoenberg's preceding variation B draws more closely on the model than that of Brahms. Neither, however, matches the intricate motivic fabric of the major variation in op. 36.

(APPENDIX EXAMPLE 39)

Strong links to op. 18 are also to be found in the

application of the motive. The significant changes to which Schoenberg directs attention in op. 24 are not to be found to this extent in the earlier work, nor would one expect them in so short a set, forming a part of a larger work rather than standing alone. Schoenberg's similarly limited movement is, however, worthy of note in exceeding not only the rigid harmonic framework of op. 18 and freer treatment of op. 36 but also op. 24 itself in varying the model not at passing but at structural points. Schoenberg's substitution of V1 (G flat) for I at bar 49 and raised III (d) - raised IV (G) for I-V1 at bar 50 finds only a remote model in Brahms's suggestion of flat IV for V7 at the beginning of the second part in var. 16. The less adventurous, but highly characteristic, variants of the model outlined in FMC, notably, the changing emphasis on particular chords and repetitions and transpositions of segments, is, however, absent, save in the variations in the major mode. Here a similar extension of Brahms's methods is to be observed. Both major variations move to the mediant, D, at the close of the first part, var B directly, var. 5 only at its repetition. Although Brahms never discards the conclusion of the first part on the dominant, he employs transposition of material which bases the preceding bars on either bM (D flat major) or M (D major). It is but a short step for Brahms to omit his return to the dominant and to conclude the first part on the mediant. Although Schoenberg does not reach D major by the same process of transposition through treating the melodic D of the model as his tonal centre at this point, impossible with this model,

Brahms's freedom and particular stress on the mediant may have provided a starting point for expansion of the model. As with var. 4, but less striking in the context of a modulatory first part, the second parts of vars B and 5 move away from the model, from G to B flat in Var. B, from B flat to E flat and G flat in var 5. This sequential use of material of the model can be seen as deriving from Brahms's method, though not for the same, organic, reason.

Of the other elements, discussed by Schoenberg in FMC, namely contrapuntal methods and the character and organization of the individual variations, little requires to be said. Schoenberg's movement includes no examples of strict counterpoint, but rather the inexact imitations classified as semi counterpoint; strict imitations only appear very briefly, as in the four-part imitation in the second part of var. B and the invertible counterpoint at the comparable part of var. 5. Elsewhere, imitation is of shape rather than detail. Although this balance finds clear parallels in Brahms's sextet variations, Schoenberg's movement lacks the clear distinction between contrapuntal and non-contrapuntal treatment found in Brahms. Schoenberg employs imitation in the second parts of vars 2, 3 and B whilst the first parts remain essentially homophonic. Of Brahms's variation movements, it is that of op. 36 which is the more overtly, though not strictly, contrapuntal, and Schoenberg's movement may be seen as falling between the two in intensity of treatment.

In the general organization of Schoenberg's set, attention can be drawn to the lack of direct relationship between certain variations and the 'variation of the variation' principle which is

characteristic not only of Brahms's op. 24 variations, but also the Sextets (op. 18: 1-2; op. 36: 3-4). The considerable tempo changes which characterize Schoenberg's movement (vars. 3,A,4,B,5) considerably exceed those of Brahms, none appearing in op. 18, two in op. 36. Attention must, however, be drawn to the most significant change, the 'Langsam' in var. 5, Brahms also marking his fifth variation, similarly set in the major mode, 'Adagio', though, unlike Brahms, Schoenberg restores the original mode and tempo thereafter.

In conclusion, some comment is warranted by the unusual model which, despite the relationship in the variation methods, finds no real parallel in the themes of Brahms's variation movements. It begins like a passacaglia bass, but subsequently adds another voice, or, rather, adds a more harmonic bass to the continuation of the original melodic bass, now in the viola part. This duality of concept continues into the variations, var. 1 presenting the original bass and its continuation as the theme, to which is added a new harmonic bass, var. 2 building upon the original bass, although treating it more freely in the latter part. The freer treatment which follows makes greater overall use of the harmony provided in var. 1, however. Considered in relation to either Brahms's single example of variations upon a passacaglia bass, the finale of the St. Antony Variations op. 56,¹⁰ or to his conventional variations, the harmonic scope of Schoenberg's theme is notably rich. Even the Brahms themes with considerably extended second parts preserve a more basic harmony than Schoenberg employs.

Of the other forms employed by Schoenberg, little need be added to the foregoing observations. Only the form of the Presto in C attracts special attention, since it provides a textbook example of Schoenberg's 'Great Sonata Rondo Form', already noted in relation to Beethoven's Sonata op. 22-III. However, it finds no significant parallel in Brahms. The Finale of the D major Quartet is in a more conventional sonata-rondo form.

Particular formal relationship with Brahms are only apparent in the second movement of this Quartet, as shown. Of particular note in the present context is the character of the Trio. Although Schoenberg gives only passing attention to this subject in FMC, the contrast of a quick trio with a ruminative 'quasi minuetto' type of movement such as Schoenberg employs here is common in Brahms's music. The relationship is greatly strengthened by the rhythmic character of the writing, notably the phrasing across the bar to produce an initial bar of 3/2 alternating with bars of 3/4; the motivic economy of the main and accompanying parts, which involve diminution and augmentation and the use of invertible counterpoint further recall Brahms. Although no close models exist, the mood and pattern of the contrasted sections find precursors in op. 51/2 - III and op. 73.

In conclusion, it can be observed that the pattern of relationship between Schoenberg, Zemlinsky and Reger is again confirmed when their uses of long-term relationships are considered. Only one feature in Reger serves to suggest any relationship to Brahms, namely the use of recurring material. Schoenberg's other acquisitions from Brahms, the uses of a Grundgestalt, of recurring pitch levels and of contrapuntal relations between movements, are not present. Reger's uses of recurring material are again individual. His most advanced example is to be found in the String Quartet op. 74, where he recalls the harmonic progression of the second subject in the third and fourth movements, though with newly-worked upper parts. However, there is no organic, developmental use and his contrapuntal methods are not strict, as mentioned.

Zemlinsky provides a much more important point of reference; indeed, he can again be seen as crucial link between Brahms and Schoenberg. The intervallic unification already noted within themes is equally present between them, as can be seen from the accompanying table. The opening motive of Theme 1a is inverted to prompt Theme 1b, which also reflects other aspects. A process of transition leads to the stress on the semitone in Theme 11a emphasised in 11b. This element furnishes the germ of the second movement theme. The themes of the finale, though free, gradually absorb earlier elements and display contrapuntal combination as in Brahms:

Ia. [Allegro ma non troppo]

mf

Ib

Tr

p

Ia

Schwungvoll

poco rit

pp dolciss.

2nd MOVEMENT

[Andante]

mf

As regards formal relationships in the broader sense of schematic patterns, neither composer approaches Schoenberg's methods, however. This is particularly interesting in the case of Reger, whose work was much more ambitious in scope than that of Zemlinsky. His Quartet op. 74, written at the same age as

Schoenberg when he produced his own D minor Quartet, is of great length. Yet, its formal layout is in essentials traditional. He is ^san uninfluenced by Brahms's variations in the relation of exposition and development and recapitulation as by the overt combination of movements stemming from the tradition of the symphonic poem. Of particular interest is his treatment of variation form in the third movement. Yet, as in his other variation movements (Quartets op. 54/2 and op. 109), his approach is independent, characterized either by a very conservative method in which both theme and harmony are retained, or exhibiting complete freedom, both methods being juxtaposed in one movement in op. 74. Yet, even in the variations which retain phrase length and harmony, he shows no interest in the motive of the variation; rather, he adds parts of increasing complexity to the basic framework.

PART FOUR

CONCLUSIONS

That Schoenberg's response to the music of Brahms was of profound significance for his development is clear from his writings and the measure of relationship between the features which he stresses in Brahms and his own compositional methods. Despite the considerable scope of this interest, however, - his awareness of Brahms's richness, complexity, ambiguity, - its most basic emphasis can, in my opinion, be none the less simply identified: namely, a preoccupation with any features which have a bearing on the creation of unity and coherence, especially in relation to brevity of expression and speed of evolution. Indeed, this emphasis has been shown to throw into relief the presence of the less distinctive themes which he inherited from earlier writers.

Taken as a whole, Schoenberg's Brahms analyses strongly confirm the emphasis placed in 'Brahms the Progressive' and elsewhere on Brahms's economy of working, his "responsibility to his materials". The application of this principle is most apparent in his discussion of thematic issues, where a very special relationship has been observed between Brahms's methods and the most advanced type of working which Schoenberg notes, that of developing variation. As a consequence of this emphasis, the related concepts of musical prose and the Grundgestalt are also closely associated with Brahms, although in a less specific way, since the concepts are much less clearly defined in his writings. Whilst these concepts are also related to other composers, to Mozart and Beethoven respectively, their

intervallic aspect seems to have been regarded by Schoenberg as a particularly Brahmsian inheritance. Schoenberg's interest in Brahms's methods of thematic relationship placed an equal emphasis on his means of loosening it, of dissolving "the obligations of the motive". Thus, whilst discussed in only a limited way, it is clear that Brahms's art of transition through the liquidation of motivial features was a significant stimulus to the evolution of this concept. Thematic unity of another, though less distinctive kind - that which arises from contrapuntal relationships - is also closely associated with Brahms's methods by Schoenberg. Whilst his stress on the use of real as opposed to quasi counterpoint was partly based on his study of earlier music, Brahms's re-stressing of this principle, his use of real counterpoint within the context of 'free' homophonic composition was regarded as of significance by Schoenberg. If unity and coherence are chiefly discussed in thematic terms, the principle is also to be discerned in Schoenberg's interest in Brahms's harmonic and tonal methods. Whilst Brahms's contribution to the evolution of the concept of monotonicity can hardly be distinguished from that of others, the nature of the system through which it is expressed, that of the regions, finds particularly characteristic illustration in Brahms's methods. Though only briefly touched upon, Brahms's uses of symmetrical relationships around a tonic seem to have been a stimulus to the concept of regions as

expressed in visual terms through his Chart of Regions.

Lying behind these different aspects was Schoenberg's interest in the ultimate unity of an entire composition, in the expression of its basic Idea. At root, therefore, Schoenberg was most concerned with the way he imagined Brahms to have seen a composition, as a whole "conceived in one spontaneous vision". This principle, which he seems to have found most notably expressed in Brahms's capacity to "penetrate to the remotest consequences of an idea", became of basic significance in the growth of his ideas as both teacher and composer.

The distinctiveness of Schoenberg's view of Brahms was a consequence of distortion. His tendency to select examples of a particular type and present them as norms emerges repeatedly through his writings. Whilst he was preoccupied with considerations of unity in the music of all the composers he mentions, the advanced state of integration in Brahms gave him a particularly significant place. This inclination also serves to explain some important omissions in his Brahms coverage, particularly concerning rhythmic methods. Despite Schoenberg's seeming lack of interest in rhythmic consideration in general, Brahms's methods were extremely advanced

and the subject of critical comment elsewhere. Whilst Schoenberg acknowledges his significance, however, he shows no desire to demonstrate Brahms's methods.

At root, Schoenberg's selectivity stemmed from his need to grasp historical tendencies. As stressed, he approached the areas he discusses not as a critic seeking a balanced view of the achievements of an individual, but rather from the desire to identify the progressive tendencies from which his own music had developed, an identification which became ever stronger as he grew to an increasing realization of the properties of musical materials, and with his need to identify his roots as a radical and misunderstood composer. Thus, not only did he emphasize particular features of Brahms, but also those of other models, chiefly Wagner, in order to reveal the opposing tendencies from which he, as the culmination of a tradition, had produced a synthesis which would serve as the basis of future developments. Although these contrasts are only tentatively expressed in his work, their presence is still clear and they have with justification been drawn out by Dahlhaus in his distinction between, on the one hand, the tendency towards 'Erweiterte' and 'Wandernde' Tonalität (arising from his principle of 'Stufenreichtum' and from that of the 'Alterationsstil') and, on the other, towards musical prose and 'unendliche Melodie', arising from the methods of developing variation and literal sequence.¹

The individuality of Schoenberg's view of Brahms had profound consequences for his development as a composer in the Brahmsian tradition and he stands in a unique position when compared with other composers who shared his background. In his youth he quickly developed from the imitation of surface features to much deeper technical relationships which enabled him to produce music of a very different kind. There is no question that the young Schoenberg was deeply involved with Brahms's language. Passages such as the fragment of the Clarinet Trio and some of the Piano Pieces of 1894 show the extent of his feeling for idiomatic piano figuration and rhythmic features. That this pianistic affinity never entirely disappeared is clear from parts of the Piano Concerto op. 42; the broader affinity with Brahms's orchestral style is also revealed in parts, though by no means all, of the orchestration of the Piano Quartet op. 25. In a lesser composer such natural relationships - which were, in my view, even stronger than those in Zemlinsky and Reger - would have led to creative impotence. However, this element yielded to one of greater strength, namely an interest in and understanding of the structural principles in Brahms's music and the consequences of their extension and development. Thus, when Schoenberg is stimulated to his most creative response to Brahms's music, he is least like him in his surface 'style'.

Thus, for example, his preoccupation in the thematic sphere with Brahms's intervallic unification and non-repetition led him to a more extensive and quickly-evolving thematic manner than Brahms had ever employed. In the harmonic sphere,

his interest in Brahms's symmetry is quickly applied to more adventurous relationships, though in the long, rather than short, term, his themes showing little regional interest. The contrapuntal relationships characteristic of Brahms are accentuated in structural importance, becoming significant in expositions as well as elaborations and used to achieve variations in sections so lengthy that their presence is no longer aurally apparent.

It inevitably becomes ever more difficult to trace the origins of Schoenberg's methods as his technique evolves. Not only is the scope of his assimilation and re-application of inherited ideas remarkable, but it grows rapidly in sophistication. Hence, although one may clearly trace the assimilation of certain Brahmsian features through the tonal period, they are to an extent paralleled by the assimilation and development of other stimuli. This is most notably the case in relation to Beethoven's later chamber music, especially the Grosse Fuge, which parallels not merely the influence of Brahms's contrapuntal relationships and motivic transformations, but also broader influences from the later 19thC, for example that of thematic combination as employed by the New German School. Furthermore, beyond these stimuli is the nature of Schoenberg himself. His claim to have imitated "everything good that I ever saw"², particularly in his own music, is very clear in the development of his early style and one can above all observe the rigour and variety with which he exploits his own interpretation of earlier methods.

The fact that Schoenberg quickly developed a technical independence of his models does not, however, render it impossible to identify his response to Brahms. The continuing relationship claimed by Schoenberg and his pupils existed, beyond any precise models, in what Brahms stood for, in the forementioned principles of unity, coherence, maturity of expression. Moreover, these principles had for Schoenberg an association with Brahms which occupied a unique place in the development of his language; namely the power of the recurrent interval or shape. Whilst considerations of harmonic 'influence' become irrelevant in all but the broadest terms in relation to a totally chromatic system, of Wagner as much as of Brahms, Schoenberg's motivic workings within the tonal system were capable of retention within a new harmonic language; indeed, the power of the motive represented Schoenberg's link from past to future. It is a measure of the weight of the tradition of which Brahms was the last and most advanced representative, that Schoenberg's mature methods show such strong links with those of his youth and its stimuli. The importance of this relationship must be held partly accountable for the extent to which Schoenberg retained the formal elements associated with existing thematic processes in the radically changed harmonic language of his maturity.

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NOTES

The following abbreviations are employed:

AfMw	Archiv für Musikwissenschaft
JASI	Journal of the Arnold Schoenberg Institute
JMT	Journal of Music Theory
Mf	Die Musikforschung
Mk	Die Musik
MQ	The Musical Quarterly
MR	The Music Review
PNM	Perspectives of New Music
PRMA	Proceedings of the Royal Musical Association
StMw	Studien zur Musikwissenschaft

PART ONE

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2. H. Weber Alexander Zemlinsky, Vienna, 1977, p.12.
3. D. Newlin Bruckner, Mahler, Schoenberg, revised edition, London, 1979, p.211.
4. E. Hanslick Music Criticisms, tr. and ed. H. Pleasants, Harmondsworth, 1950, p.158
5. P. Spitta Zur Musik, Berlin, 1892, pp 392-3.
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7. A. Schoenberg 'Brahms the Progressive', 1933 "fully reformulated" in 1947. See SI, pp 398-441 and p.532.
8. Bach Ibid. p.8
9. E. Wellesz The Origins of Schoenberg's Twelve-Note System, London, 1958, p.4.
10. H.H. Stuckenschmidt Arnold Schoenberg, tr. E.T. Roberts and H. Searle London, 1959, p.20.
11. The Nachod Collection of the Early Works of Schoenberg. University of Denton, Texas. This includes compositions from Schoenberg's earliest period. See also: D. Newlin, 'The Schoenberg-Nachod Collection'; A Preliminary Report, MQ, LIV/i 1968 and: E. Steiner, 'Schoenberg's Quest: Newly-discovered works from his early years' MQ, LX/i, 1974, pp 401-420.
12. Weber Ibid. p.128.
13. op. 3 and op. 4 were first performed on Dec 11th and Dec 2nd respectively.

The Second, Third and Fourth Quartets date from 1916, 24 and 1936 respectively.

14. Max Reger

'Degeneration un Regeneration in der Musik'
Neue Musik-Zeitung. Stuttgart, XXIX, 1907,
pp 49-51

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 3. Rufer Ibid, p. 140.
 4. J. Rufer Composition with Twelve Tones, tr. H. Searle, London, 1954. p. VII.
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11. Ibid. p.262 and p.268.
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20. Ibid. p.93
21. See
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22. H. Riemann Ibid. pp 109 - 123.
23. See, for example: Brahms in Briefwechsel mit Billroth, Berlin and Vienna, 1935, pp 479 - 86.

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29. Schenker Ibid. p. 66-7.
30. Ibid. p.65
31. Ibid. p.67.
32. Ibid. p.68.
33. Ibid. p.291.
34. These are the words with which Schenker dedicated his study of Beethoven's Ninth Symphony to Brahms. See H. Schenker, Beethovens Neunte Sinfonie, Vienna, 1912.
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36. Ibid. p.35.
37. C. Dahlhaus Zwischen Romantik und Moderne, Berliner Musikwissenschaftliche Arbeiten, Vol 7, ed. C. Dahlhaus and R. Stephan, Munich, 1974, pp 60-71.
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38. Riemann Ibid. 111, pp 301 - 313.
39. Rufer Composition with Twelve Notes, p. 30,
40. A. Walker A Study in Musical Analysis, p. 88.
41. Reti The Thematic Process in Music, p. 219.
42. Ibid. p. 226. See also pp 163 - 4.
43. Brahms based the movement on a varied form of the passacaglia theme used in the last movement of J.S. Bach's Cantata 150: Nach dir Herr, verlange ich.
44. R. U. Nelson "Schoenberg's Variation Seminar", MQ Vol. L/ii. 1964, p. 161.
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46. C.V. Stanford Musical Composition, London, 1922, pp 54 - 68.
47. D.F. Tovey Essays in Musical Analysis, Supplementary volume, ed. H. Foss, London, 1944, pp 167 - 185.
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49. H. Hadow Studies in Modern Music, London, 1895, p. 271.
 50. Riemann Ibid. Vol. 2, p. 436.
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1. Rufer (The Works of Arnold Schoenberg, pp. 135 - 6)
 lists the following four stages of preparation:
1. 1911: Das Komponieren mit Selbständigen Stimmen.
 (Composing with independent voices:
 Critique of the old method of teaching
 counterpoint and establishment of a
 new one). 12 pages.
 2. 1926: Die Lehre vom Kontrapunkt
 (The Theory of Counterpoint).- 18 pages
 of text.
 - 3 pages of
 examples
 3. 1936: Untitled. - 58 pages of
 text.
 - 16 pages of
 examples
 4. 1942. Untitled. (4 volumes : 2 handwritten and
 2 typed 'Master Copy' books
 with examples comprising 67
 and 60 pages respectively,
 with an additional volume
 of examples).

For discussion of 1, see:

R. Stephan 'Schoenbergs 'Das
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 Vol. 29/4, 1972, pp.239 - 256.

2. W. M. Langlie Arnold Schoenberg as Teacher (Ph.D thesis) University
 of California, Los Angeles June 1960, unpublished.
- 3.
- | | | |
|---|--------|---------------|
| 'Old and New Counterpoint' | (1928) | <u>SI 288</u> |
| 'Linear counterpoint' | (1931) | <u>SI 289</u> |
| 'Linear Counterpoint, Linear Polyphony' | (1931) | <u>SI 295</u> |
| 'Fugue' | (1936) | <u>SI 297</u> |

4. Langlie Ibid. p. 84.
5. Ibid. p. 83
6. Ibid. p. 90.
7. Ibid. p. 38.
8. Kurth Ibid.
9. Stanford Ibid. pp 12 - 20.
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2. E. Wellesz Arnold Schoenberg, p. 67.
3. P. Friedheim Tonality and Structure in the Early Works of Schoenberg. PH.D thesis, University of New York, 1963, p. 115.

4. A. Schoenberg 'Notes on the Four String Quartets' (1936)
See U. Rauchhaupt, Schoenberg, Berg and Webern,
The String Quartets: A Documentary Study. Hamburg, 1971

5. Wellesz Ibid. p. 100.

6. Friedheim Ibid. p. 299.

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1. Schoenberg Ibid. p. 36.

2. Ibid. p. 40.

3. However, it is impossible to be sure of the relationships since none of the works is dated save No. 76.
The accurate chronology of these works has yet to be established.

4. A. Schoenberg Sämtliche Werke, Series A, vol. 4, ed. E. Steuermann and R. Brinkmann, Mainz and Vienna, 1968, pp. 75 -80.

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1. A. Schoenberg Notes on recording of op. 4 : CBS BRG 72268.

2. D. Lewin 'Inversional Balance as an Organizing Force in Schoenberg's Music and Thought' PNM VI/i, 1967, p. 1.

3. J. Rufer The Works of Arnold Schoenberg, p. 148.

4. A. Berg 'Why is Schoenberg's Music so difficult to Understand? in Alban Berg, by W. Reich, tr. C. Cardew, London, 1965, p. 197.

SECTION FOUR

1. The example quoted by Schoenberg, bars 20-1-1 to 2 is presumably quoted in error, since the relation is that of imitation by inversion, not simultaneous statement, which only appears at 20-3-1.

2. J. Rufer The Works of Arnold Schoenberg, p. 147.
3. E. Wellesz The Origins of Schoenbergs Twelve-Note System, Ibid.
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5. Rufer (ed). Schoenberg: 30 Kanons, Kassel, 1963,
See also Rufer, Ibid. pp. 101 - 106.
and J. Maegaard. Studien zur Entwicklung des
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3. Friedheim Ibid. p. 134.
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Soundings, No. 4, 1974, pp. 58 - 63.
9. O. Neighbour Foreword to the score of String Quartet in D major,
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10. Op. 98 - IV does not retain the passacaglia bass
consistently.

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CONCLUSIONS

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2. Rufer The Works of Arnold Schoenberg, p. 148.

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Appendix One

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Appendix Two

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APPENDIX ONE

LIST OF BRAHMS WORKS REFERRED TO, IN ORDER OF OPUS NUMBER AND
WITH PUBLICATION DATES.

OPUS

11.	Serenade No 1 in D major for large orchestra.	1860
15.	Piano Concerto No 1 in D minor	1861 - 2
16.	Serenade No 2 in A major for small orchestra	1860
18.	String Sextet No 1 in B flat major	1861
21/1.	Variations on an original theme for piano	1862
21/2.	Variations on a Hungarian song for piano	1862
24.	Variations and Fuge on a theme of Handel for piano	1862
25.	Piano Quartet No 1 in G minor	1863
26.	Piano Quartet No 2 in A major	1863
34.	Piano Quintet in F minor	1865
36.	String Sextet No. 2 in G major	1866
38.	'Cello Sonata No 1 in E minor	1866
37.	Three Sacred Choruses for female voices	1866
44.	Twelve songs and Romances for female choir	1866
45.	A German Requiem, for soloists, chorus and orchestra	1868 - 9
51/1.	String Quartet No 1 in C minor	1873
51/2.	String Quartet No 2 in A minor	1873
56a.	Variations on a theme of Haydn for orchestra	1874
60.	Piano Quartet No 3 in C minor	1875
67.	String Quartet No 3 in B flat major	1874
68.	Symphony No 1 in C minor for large orchestra	1877
71.	Five Vocal Pieces for solo voice with piano	1877
73.	Symphony No. 2 in D major for large orchestra	1878
77.	Violin Concerto in D major	1879
78.	Violin Sonata No 1 in G major	1880
79/1.	Rhapsody in B minor for piano	1880
79/2.	Rhapsody in G minor for piano	1880
81.	Tragic Overture in D minor for large orchestra	1881
83.	Piano Concerto No 2 in B flat major	1882
87.	Piano Trio No 3 in C major	1883
88.	String Quintet No 1 in F major	1882

90.	Symphony No 3 in F major for large orchestra	1884
98.	Symphony No 4 in E minor for large orchestra	1886
99.	'Cello Sonata No 2 in F major	1887
100.	Violin Sonata No 2 in A major	1887
101.	Piano Trio No 3 in C minor	1887
102.	Double Concerto for Violin and 'Cello in A minor	1888
111.	String Quintet No 2 in G major	
108.	Violin Sonata No 3 in D minor	1889
111.	String Quintet No 2 in G major	1891
113.	13 Canons for female voices	1892
114.	Clarinet Trio in A minor	1892
115.	Clarinet Quintet in B minor	1892
118.	Six Piano Pieces	1893
120/1.	Clarinet Sonata No 1 in F minor	1895
120/2.	Clarinet Sonata No. 2 in E flat major	1895
121.	Four Serious Songs for bass voice with piano	1896

WITHOUT OPUS NUMBER

Various canons, published in vol. 21 of the Complete Edition. (1926 -8).

APPENDIX TWO

EXTENDED MUSIC EXAMPLES

1.	WAGNER.	<u>Die Walküre, Act 1, Sc. 3.</u>	page	413
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3b	WAGNER.	<u>Das Rheingold, Act 1, Sc. 1.</u>	page	427
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EXAMPLE 1

55

(Siegmond draws Sieglinda towards him on the bench with tender force, so that she sits beside him. —
(Siegmond zieht Sieglinde mit sanfter Gewalt zu sich auf das Lager, so dass sie neben ihm zu sitzen kommt. —
Mässig bewegt. (Moderato.)

pp dolce

cresc.

Ped.

SIEGM.

Increasing brilliance of the moonlight.)
Wachsende Helligkeit des Mondscheines.)

Win-ter stür-me wi-chen dem
Win-ter storm have waned to the

mf

dim.

pp

Won-ner-mond, in mil-dem Lich-te leuchtet der Lenz; auf lin-den Lüf-fen,
winsome moon, in mild as-cendance smil-eth the Spring, and, swayed by Zeph-yrs,

p.

leicht und lieb-lich, Wunder we-hend er sich wiegt; durch Wald und Au-en
soft and sooth-ing, weav-ing wonders to he wends; through wood and broad-land

p.

dolce

54

SIEGM.

weht sein A . . them, weit ge . öff' net lacht sein Aug: aus sel' ger Vöglein San . ge
wafts his breath . . ing, widely beam his eyes with bliss, in songs of birds resounds his

süss er tönt, — hol . de Duf . te haucht er aus; sei . nem warmen Blut ent . blii . hen
sil . v'ry voice, — pleasant o . dours pours he forth; from his living blood out . burst the

won . ni . ge Blu . men, Keim und Spross entspringt seiner Kraft. Mit zar . ter Waf . fen Zier he
love . li . est blos . soms, verdant sprays up . spring at his voice. With soft . ly wielded scorp . tre

zwingt er die Welt; — Winter und Sturm wichen der starken Wehr: — wohl muss . te den tapfern Streicher
sways he the world; — Winter and storm wane as his strength awakes, — Oh well may his hardy striving il

SIEGM.

streng Thü.re auch weichend die trotzig und starr uns trenn - te von ihm -
 stubborn hinges be riving, which, heavy and stiff, once held us from him!

cresc. *mf* *f* *pespressivo*
 Ped.

molto cresc.

Zu sei - ner Schwe - ster schwang
 To - wards his sis - ter swift

più f *ff* *dim.*

er sich her; die Lie -
 ly he flies; thus long

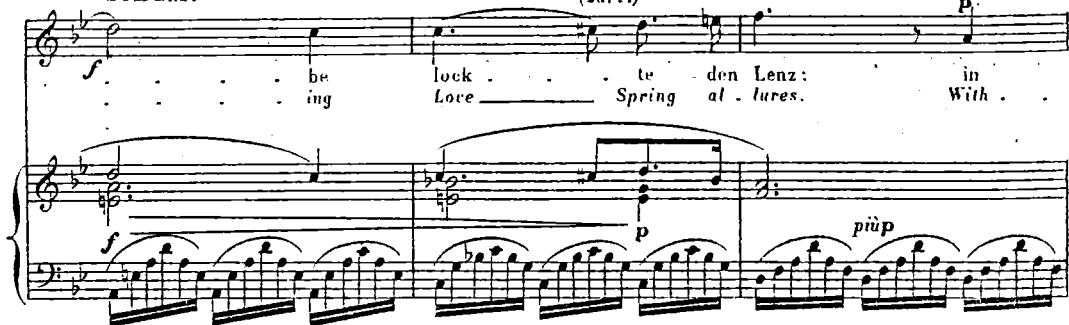
p

56

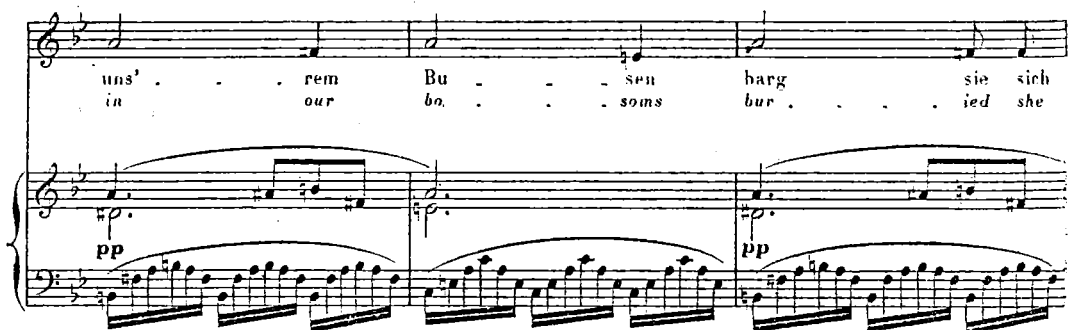
SIEGM.

(soft)
(zart.)

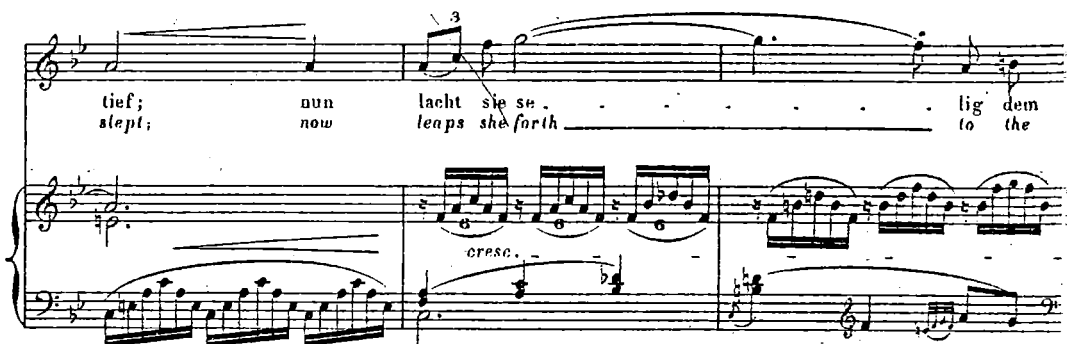
be lock te den Lenz: in
ing Love Spring al lures. With



uns' rem Bu sen barg sie sich
in our bo. soms bur ied she

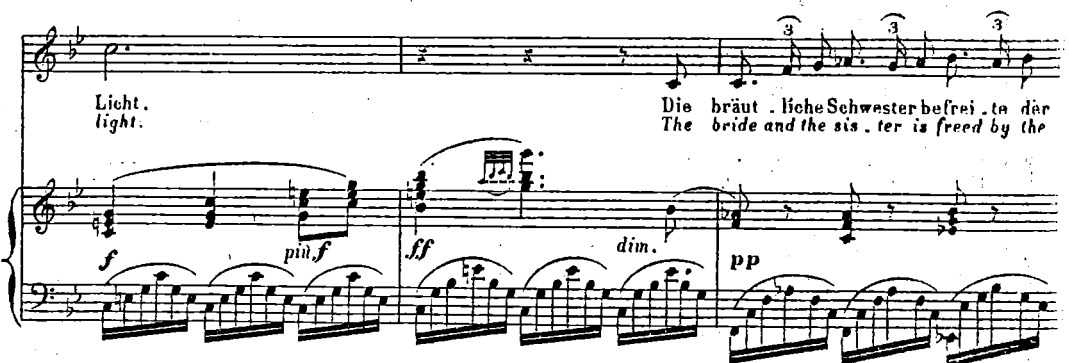


tief; nun lacht sie se lig dem
aslept; now leaps she forth to the



Licht.
light.

Die bräut. liehe Schwester befrei. to dar
The bride and the sis. ter is freed by the



SIEGM.

Bru . . der; zer . trüm . mert liegt was je sie ge . trennt;
 bra . . ther; lie prone the walls that held them a . part;

jauch . zend grüsst sich das jun - ge Paar; ver - sint
 hail each oth . er the hap - py pair; now Spring

sind at Lie - last

he und Lenz!
 holds his Love!

espressivo
cresc.

p

EXAMPLE 2

91

(With a doleful whining voice.)
MIME. (Mit kläglich kreischender Stimme.)

Das ist nun der Lie - be schlin - mer Lohn! Das der
 This is my af - fee - tion's foul re ward! This my

Sor - - - gen schmä - - - licher Sold! Als
 toil's dis - grace - - - ful re - turn! A

zul - len - des Kind zog ich dich auf, wärmte mit Klei - den den klei - nen Wurm.
 (d. = q) que - ru - lous brat kind - ly I reared, wrapped in warm linen the lit - tle wretch;

Speise und Trank trug ich dir zu, hüt - e - te dich wie die eig - ne Haut. Und
 wa - ter and food for thee I found, looked up - on thee as my ve - ry life. And

MIME.

wie du er - wuch - sest, war - tel' ich dein; dein La - ger schuf ich, dass leicht du schliefst. Dir
when thou didst wax I wait - ed on thee; in care for thy slumber a couch made soft. I

schmiedelich Tand und ein tö - nend Horn; dich zu er - freun müht' ich mich froh, mit
shaped for thee toys and a tune - ful horn; e'er at thy whim wil - ling - ly worked: with

klu - gem Ra - the rieth ich dir klug, mit lich - tem Wis - sen lehr' ich dich Witz.
cun - ning re - des I read thee all craft, with sub - tle wis - dom sharpened thy wits.

Sitz' ich da - heim in Fleiss und Schweiss, nach Herzenslust schweifst du um - her.
Mop - ing at home I toil and moil, while heedless from me thou dost hie.

MIME.

für dich nur in Plä-ge, in Pein nur für dich ver-zehr' ich mich al-ter
for thee do I plague me, take pains but for thee, so dwindle my pow'rs, a

(sobbing.)
(schluchzend.)
ar-mer Zwerg! Und al-ler Las-ten ist das nun mein Lohn, dass der ha-stige
poor old dwarf! For all my worry is this my re-ward, from the hot-headed

(sobbing.)
(schluchzend.)
Kna-be mich quält und hasst! und hasst!
boy but a-buse and hate!

(SIEGFRIED again turns round and steadily scans MIME'S face.)

MIME encounters SIEGFRIED'S gaze and timidly hides his own.)

(SIEGFRIED hat sich wieder umgewendet und ruhig in MIMES Blick geforscht.)

MIME begegnet SIEGFRIED'S Blick und sucht den seinigen scheu zu bergen.)

EXAMPLE 3a

254

poco cresc.

Ped. ⊕ Ped. ⊕

pizz

Ped. ⊕ Ped. ⊕

dim.

Ped. ⊕

Die drei Rheintöchter.
The three Rhine-nymphs.
WOGL.

Frau Son - ne sen - det lich - te
The sun - god send - eth rays of

WELLG.

(Im Schwimmen mässig einhaltend.)

Frau Son - ne sen - det lich - te
The sun - god send - eth rays of

FLOSSH.

(Pausing a little in their swimming.)

Frau Son - ne sen - det lich - te
The sun - god send - eth rays of

p

WOGL.
Strah - len; Nacht liegt
splen - - - - - dour; night reigns

WELLG.
Strah - len; Nacht liegt
splen - - - - - dour; night reigns

FLOSSIL.
Strah - len; Nacht liegt
splen - - - - - dour; night reigns

p
Ped.

in der Tie - fe; einst war sie
in the wa - - - - - ters. Once did they

in der Tie - fe; einst war sie
in the wa - - - - - ters. Once did they

in der Tie - fe; einst war sie
in the wa - - - - - ters. Once did they

più p
dolce
Ped.

hell, da heil und hehr des Va - ters Gold noch in ihr
beam, when brave and bright our fa - ther's gold yet in them

hell, da heil und hehr des Va - ters Gold noch in ihr
beam, when brave and bright our fa - ther's gold yet in them

hell, da heil und hehr des Va - ters Gold noch in ihr
beam, when brave and bright our fa - ther's gold yet in them

256

WOGL.
glänz - - - - - tel - - - - - Rhein - - - gold,
glit - - - - - tered. Rhine - - - gold,

WELLG.
glänz - - - - - tel - - - - - Rhein - - - gold,
glit - - - - - tered. Rhine - - - gold,

FLOSSH.
glänz - - - - - tel - - - - - Rhein - - - gold,
glit - - - - - tered. Rhine - - - gold,

oressc.
tr
fp
oressc.
Ped.
Ped.
Ped.

kla - - - res Gold wie - hell - - - du ein - stens
clear - - - est gold! how - bright - - - ly once thou

kla - - - res Gold wie - hell - - - du ein - stens
clear - - - est gold! how - bright - - - ly once thou

kla - - - res Gold wie - hell - - - du ein - stens
clear - - - est gold! how - bright - - - ly once thou

dim.
Ped.
Ped.
Ped.

strahl - - - test, beh - rer Stern - - - der
stream - - - edst, beauteous star of

strahl - - - test, beh - rer Stern - - - der
stream - - - edst, beauteous star of

strahl - - - test, beh - rer Stern - - - der
stream - - - edst, beauteous star of

3
3
3
p

WOGL.

(Sie schliessen wieder den Schwimmreigen.)
(They again form their circling dance.)

237

WELLG.

FLOSSH.

Ped.

Ped.

214P

DD-

85265

238

WOGL.

WELLG.

FLOSSH.

la lei, walla la la la lei a la walla la
la lei, walla la la la lei a la walla la
la lei, walla la la la lei a la walla la
la lei, walla la la la lei a la walla la
(Harp on the stage.)

wei a la la la wal la la la lei a lei a lei a
wei a la la la wal la la la lei a lei a lei a
wei a la la la wal la la la lei a lei a lei a
wei a la la la wal la la la lei a lei a lei a

lei la la la la la
lei la la la la la
lei la la la la la
lei la la la la la

semprepp

239

WOGL.

WELLG. (Sie lauschen.)

FLOSSH. (They listen.)

Horn
(auf dem Theater.) (on the stage.)
(R. distant.) (Echo, L.)
(Rechts, fern.) (Im Echo links.)

(Sie schlagen jauchzend das Wasser.) (They joyously splash the water.)

WOGL.

WELLG.

FLOSSH.

Frau Fair Son - - - ne,
Fair sun - - - god,

Frau Fair Son - - - ne,
Fair sun - - - god,

Frau Fair Son - - - ne,
Fair sun - - - god,

23205

EXAMPLE 3b

5

(Hier wird der Vorhang aufgezogen.) (*Curtain rises.*)
 (Volles Wogen der Wassertiefe.) (*Waters in motion.*)

(Wogl. kreist in anmuthig schwimmender Bewegung um das mittlere Riff.)
 (*Wogl. circles with graceful swimming motions round the central rock.*)

WOGLINDE.

Wei - al Wa - ga! Wo - ge, du Wei - le, wal - le zur Wie - ge! wa - ga - la wei - al!
 Wei - al Wa - ga! Wan - der - ing wa - ters swing ye our cra - die! wa - ga - la wei - al!

p(u.o.)

wal - la - la, wei - a - la wei - - - al - - -
 wal - la - la, wei - a - la wei - - - al - - -

26320

6

WOGLINDE.

WELLGUNDE.

(Wellgunde's Stimme von oben.)
(Wellgunde's voice from above.)

Mit Wellgun - dewär'ich zu zwei.
If Wellgun - de came we were two.

(Sie taucht aus der Fluth
zum Riff herab.)
(She dives down to the
rock.)

Wog - lin - de, wachst du al-lein?
Wog - lin - de, watch-est a-lone?

Lass' sehn wie du
How safe is thy

WOGL.

(sie entweicht ihr schwimmend.)
(she eludes her by swimming.)

WELLG.

Si - cher vor dir!
Safe from thy wiles!

(Sie necken sich, und suchen
sich spielend zu fangen.)

wachst!
watch?

(They playfully chase one
another.)

FLOSSHILDE.

(Flosshilde's Stimme von oben.)
(Flosshilde's voice from above.)

Hei - a-ha wei - a!
Hei - a-ha wei - a!

WELLG.

Flosshil - de, schwimm! Woglin - de flieht:
Flosshil - de swim! Woglin - de flies:
helf mir die Fliesen-de
help me to hin - der her

FLOSSH.

wil - des Ge-schi - ster!
Heed-less wild watch-ers!

(Flosshilde taucht herab und fährt zwischen die Spielenden.)
(Flosshilde dives down between them.)

WELLG.
 fan - geul
 fly - ing!

FLOSSH.
 Des Gol - des Schlaf hü - tet ihr
 The sleep - ing gold bad - ly ye

FLOSSH.
 schlecht! Bes-ser be-wacht des schlummernden Bett, sonst büsst ihr bei - de das
 guard! Bet-ter be - set the slum-ber-er's bed, or both will pay for your

(Mit munterem Gekreisch fahren die beiden auseinander: Flosshilde sucht die eine, bald die andere zu erhaschen; sie entschlüpfen ihr, und vereinigen sich endlich um gemeinsam auf Flosshilde Jagd zu machen. So schnellen sie gleich Fischen von Riff zu Riff.)
 (With merry cries they swim apart. Flosshilde tries to catch first one and then the other; they elude her and then together chase her and dart laughing and playing like fish between the rocks. From a dark chasm Alberich climbs up one)

Spiel!
 sport!

Riff, scherzend und lachend. Aus einer finstern Schlucht ist während dem Alberich, an einem Riff klimmend, dem Abgrunde entstiegen. Er hält noch vom Dunkel umgeben, an, und schaut dem Spiele der Rheintöchter mit steigendem Wohlgefallen zu.)
 of the rocks. He remains watching the watermaidens with increasing pleasure.)

8

ALBERICH.

(Die Mädchen halten, sobald sie Alberich's Stimme hören, mit dem Spiele ein.)
(The maidens stop playing on hearing Alberich's voice.)

ALB.

WOGL.

FLOSSH.

ALB.

Heil wer ist dort?
Hei! who is there?

Es däm-mert und
A voice in the

naht' ich mich gern, neig-tet ihr euch zu mir!
fain would I come, would ye turn but to me!

sempre p

WOGL.

WELLG.

FLOSSH.

Lugt wer uns belauscht!
Look who is be-low!

(Sie tauchen tiefer herab und erkennen den Nibelung.)
(They dive deeper down and see the Nibelung.)

Pfui! der Gar-sti-ge!
Fie! thou gris-ly one!

Pfui! der Gar-sti-ge!
Fie! thou gris-ly one!

ruft.
dark.

p *cresc.* *fp*

FLOSSH. (schnell auftauchend.) (Die beiden andern folgen ihr, und alle drei versammeln sich schnell um das mittlere Riff.)
(swimming quickly up.) (The two others follow her, and all three gather quickly round the middle rock.)

Hü-tet das Gold! Va-ter warn-te vor sol-chem Feind.
Look to the gold! Fa-ther warned us such foe to fear.

cresc.

26520

Example 4

61 65 - 76 77

etc.

① I I VI II V V I - - - - I

86 Repr.

etc.

① VI V VI V I V VI - - -

33

etc.

① V IV

① I

① III II R V ‡ IV R V I H

41 SEQUENZ

etc.

① IV R V ‡ H H ‡ IV I

① V I

53 54 56

etc.

① H V I ① III VI R V ① I I VI IV V

Example 5

Ex.17

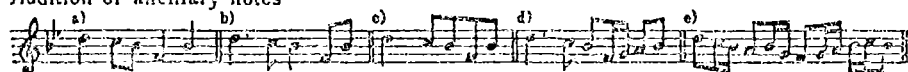
Developing variations of a motive based on a broken chord

Rhythmic changes



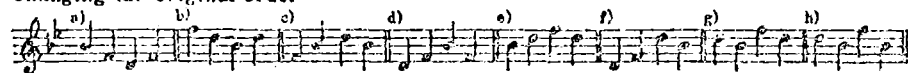
Ex.18

Addition of ancillary notes



Ex.19

Changing the original order



Ex.20

Embellishing Ex.19



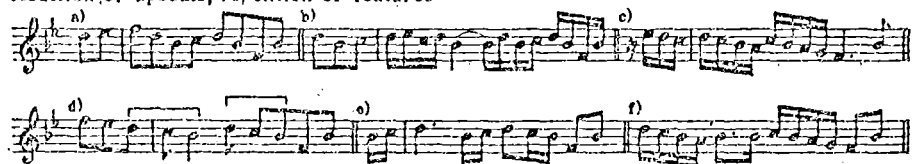
Ex.21

Reduction, omission, condensation



Ex. 22

Addition of upbeats, repetition of features



Ex. 23

Shift to other beats



Ex. 24

Change of metre



Example 6

Example 6 is a musical score for a string quartet, featuring Violins 1 and 2, Viola, and Violoncello. The score is written in G major and 4/4 time. It consists of four systems of music, each with a grand staff (treble and bass clefs).

The first system includes the following parts and measures:

- Vln. 1 (Violin 1): Measures 1st, 2nd, 3rd, 4th, 5th, 6th.
- Vln. 2 (Violin 2): Measures 1st, 2nd, 3rd, 4th, 5th, 6th.
- Vla. (Viola): Measures 1st, 2nd, 3rd, 4th, 5th, 6th.
- Vlc. (Violoncello): Measures 1st, 2nd, 3rd, 4th, 5th, 6th.

The second system includes the following parts and measures:

- Vln. 1: Measures 7th, 8th, 9th, 10th.
- Vln. 2: Measures 7th, 8th, 9th, 10th.
- Vla.: Measures 7th, 8th, 9th, 10th.
- Vlc.: Measures 7th, 8th, 9th, 10th.

The third system includes the following parts and measures:

- Vln. 1: Measures 11th, 12th, 13th, 14th.
- Vln. 2: Measures 11th, 12th, 13th, 14th.
- Vla.: Measures 11th, 12th, 13th, 14th.
- Vlc.: Measures 11th, 12th, 13th, 14th.

The fourth system includes the following parts and measures:

- Vln. 1: Measures 15th, 16th, 17th, 18th.
- Vln. 2: Measures 15th, 16th, 17th, 18th.
- Vla.: Measures 15th, 16th, 17th, 18th.
- Vlc.: Measures 15th, 16th, 17th, 18th.

The score concludes with the word "etc." (et cetera) at the end of the fourth system.

Example 7

lit - ten und hat - ten keinen Tro - ster, und die ih - nen Un - recht t - tu - en,
 wa - ren zumäch - tig, daß sie kei - nen, keinen Tro - ster
 ha - ben konnten. Da lob - te ich die To - ten, die
 schon ge - stor - ben wa - ren, mehr als die Le - ben - di - gen, die

LPS 137

850)

2.

(Prediger Salomo, Kap. 4)

Andante
 Singstimme
 ich wand - te mich, und sa - ße
 an al - le, die Un - recht lei - den un - ter der Son - ne, die Un - recht
 lei - den un - ter der Son - ne, und sie - ßen, sie - ßen,
 da wa - ren Trä - nen, Trä - nen der, die Un - recht

Pianoforte

LPS 137

Example 8

15

Romance.
Poco Adagio.

15

16

17

18

16

16

17

18

19

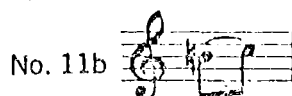
Handwritten musical score for "Andante" by Franz Liszt. The score is written on three systems of staves, each containing a piano (p) and violin (v) part. The tempo is marked "Andante" at the top left. The score includes various musical notations such as notes, rests, and slurs. Dynamics include *p* (piano), *pp* (pianissimo), *dim.* (diminuendo), *cresc.* (crescendo), *ff* (fortissimo), and *sf* (sforzando). Articulations like *acc.* (accents) and *tr.* (trills) are also present. The score is marked with measure numbers 10, 20, and 30. The piece concludes with a double bar line and the word "FINE" at the bottom right.

B. & H. 8723

The half-step A-G-sharp comes first; the minor third G-sharp-B follows.



However, there has been an additional development: the minor second B-C



has turned into a major seventh B-C,



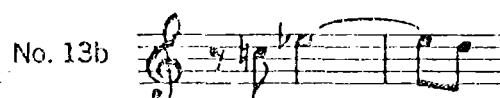
a new shape which turns up again immediately in the fifth phrase as B-flat-B-natural, with its appended minor third B-D.



A different method for connecting is used in the sixth phrase,



which again takes up the rhythm



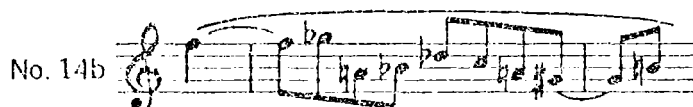
of the second phrase.



Further, the ninth phrase is of interest,



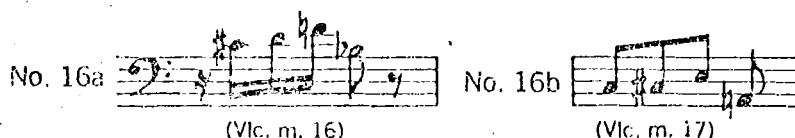
as it represents a distinct variation of the beginning.



In the passage for violins following the clarinet measures, it has perhaps struck you that the first and second phrases are merely variations of the preceding,



and that, furthermore, a small phrase makes its appearance twice in succession at the end, in the accompaniment for cellos:



The first three notes are once again in the sequence of minor second and third that we have heard before. It is to play an important role in what follows. Thus, the vocal part, which consists of four sections separated from one another by interludes, begins the first of these with that little phrase. We will now present this section to you. Notice that the three notes constitute a fixed motivic unit which occurs most frequently at the beginning of text-lines, but which also plays a part in the remaining portions of phrases. Besides, this figure is varied and developed in manifold ways, as I will show further on. Perhaps you may also notice the accompaniment to the words "Lebens wider See" and "sei meine Fahrt auch voll von finster Sturm und Weh."³ [No. 17: Orchestra, p. 6, mm. 18-28.]

You heard the above-mentioned motive first in eighth-notes and then in sixteenths.

No. 18



And so on . . . in connection with which the rhythm of this figure will develop into an independent shape that will appear, moreover, clad with other intervals. I hope I may not have in vain called your attention to a place in the text, for in this regard there are some not unimportant matters of principle to be adduced.

"Wilder See," "Fahrt," "Finster Sturm," "Weh"⁴: these are words whose representational impact hardly any composer from Bach to Strauss could have resisted—words which could not simply glide past without being reflected by some musical symbol. And yet this place affords a very telling example of a new way to deal with such images. I may say that I was the first to have proceeded in this new manner; the others, who imitated it under a misapprehension, have, for

Example 10

Ex. 45

a) Mozart, Piano Sonata K.V. 279-III
Allegro

b) Piano Sonata K.V. 283-II
Mennetto I

c) Piano Sonata K.V. 283-I

Allegro

c) MOZART Piano Sonata K.V. 280-I

Assai allegro

Example 11

h) Piano Sonata K.V. 333-I

Allegro

1 2 3

p

a *a*¹

*a*² 5 6 6 chain from *a*

varied repetition of no. 5-6 30

Ex. 59

a) MOZART Piano Sonata K.V. 280-I

Assai allegro

1 2 3 4 5

f

*a*¹ *a*²

6 7 6 *b*² *c* *f*

9 10 11 *p* *f* *c*¹ *a*³ *c*²

12 13 14 *p* *f* *c*⁴ *a*⁴ etc.

f) Piano Sonata R.V. 330-I
Allegro moderato

12f

1 2 3 4

5 6 7 8

9 10 11 12 13

(rep. of 5-8)

c) Piano Sonata, No. 28-III

Presto

1 2 3 4 5 6

7 8 9 10 11 12

13 14 15 16 17 18

19 20 21 22 23

V I IV V

c) Suite, Op. 57/3

Allegro assai

4/4 = 2 x 2/4

f (1) (2)

fp *fp*

(3) (4) (5) (6)

fp *cresc.*

(7) *ff* (8) *f* (9) (10)

Extension

c) String Trio Op. 3

Adagio

p *p* *p*

unprecedent-5 measures consequent-7 m.

cresc. *cresc.* *cresc.*

*extension

1) String Quartet, Op. 125/1-1
Allegro moderato

The musical score is presented in two systems. The first system contains measures 1 through 6, and the second system contains measures 7 through 14. The notation is for a string quartet, with a treble clef on the upper staff and a bass clef on the lower staff. The tempo is marked 'Allegro moderato'. The first measure of the first system is marked with a piano 'p' dynamic. The music consists of eighth and sixteenth notes, often beamed together, and rests. The key signature has one flat (B-flat), and the time signature is 4/4.

Allegro molto

Y. O. 11. 10. 11.

Violino II

Viola I

Viola II

ИГЛУНУОЛЮА

Violoncello II

10

6755C.

५३

139

三

—

100

10

11

—

1

10

E. E. 4369

E. E. 4398

44

30

1000

—

11

3

1

000000.

25327

2552

三

25813 m.

12:45

15

Example 13

28

II

Scherzo: Allegro non troppo

Violino I
Violino II
Viola I
Viola II
Violoncelli I
Violoncelli II

E. B. 4570

29

E. B. 4570

30

dim. p

40

p dim. dolce p dolce

50

dim. p

E. E. 4570

60

dim. p pizz.

70

dim. p

80

p pizz.

E. E. 4570

Example 15

91

Poco a poco

Fl. Cl. (A) Bg. Vi. I Vi. II Via. Vlc. Cb.

175 190

E Tempo I

Vi. I Vi. II Via. Vlc. Cb.

195

W. PA. 7. 131

90

Fl. Cl. (A) Bg. Vi. I Vi. II Via. Vlc. Cb.

170 175

Stacc.

Fl. Cl. (A) Bg. Vi. I Vi. II Via. Vlc. Cb.

180 185

W. PA. 7. 131

11

W. Ph. V. 13i

11

W. D. H. V. 131

D. & M. 6527

2022
H
9
05

Fl.
Ob.
Fg.
Cor. An.
Vl. I
Vl. II
Vla.
Vlc.
Cb.
R.
C.
Fg.
Cor. An.
Vl. I
Vl. II
Vla.
Vlc.
Cb.

E. & H. 8627

This page of a musical score is divided into two systems. The first system includes staves for strings (Violins I, Violins II, Violas, Cellos, Double Basses), woodwinds (Flutes, Oboes, Clarinets), and brass (Trumpets, Trombones, Tuba/Euphonium). The second system includes staves for voices (Soprano, Alto, Tenor, Bass) and a piano (P). The score is written in a standard musical notation with various notes, rests, and dynamic markings such as 'p' (piano) and 'f' (forte). The page number '170' is visible at the bottom center.

827

22

202

[illegible]

[illegible][illegible]

E. G. H. 34:27

Fl. Pic.
R.
Ob.
Cl.
Fg.
Cg.
Bb.
Cor.
E.
Tb.
Timp.
V.I.
V.II.
Vc.
Vc.
Cb.

E. S. H. 637

Herrn OTTO SPITZWEG in herzlichster Dankbarkeit hochachtungsvoll zugeeignet¹

Quartett No 1

Aufführungsrecht vorbehalten
Performing rights strictly reserved

Max Reger, Op. 54, No 1
(1873-1916)

Allegro agitato

Violino I

Violino II

Viola

Violoncello

Jos. Aibl Verlag G. m. b. H. Leipzig

Universal Edition A. G. Wien

In die „Philharmonia“ Partituren-sammlung aufgenommen

U. E. 5936 W. Ph. V. 222

3

20

25

sempre poco a poco rit.

30

u tempo

35

U. E. 6536 W. Ph. V. 272

40

45

50

55

U. E. 6536 W. Ph. V. 272

Herrn Dr. ARTHUR SEIDL zugeeignet

1

Quartett No 2

Aufführungsrecht vorbehalten
Performing rights strictly reserved

Max Reger, Op. 54, No 2
(1873-1916)

Allegro assai e bizzarro (♩ = 112-120)

Violino I

Violino II

Viola

Violoncello

5

10

Jos. Aibl Verlag G.m.b.H. Leipzig

Universal Edition A.G. Wien

In die „Philharmonia“ Partituren-Sammlung aufgenommen

U. E. 6337 W. Ph. V. 223

2

12

Allegro sempre poco a poco cresc.

13

20

25

35

U. E. 6537 W. Ph. V. 223

45

Allegro sempre poco a poco cresc.

50

55

65

poco rit. a tempo

U. E. 6537 W. Ph. V. 223

Example 18

81

5

pp

pp dolce

ppp dolce

86

pp

pp

pp

pp

91

cresc.

cresc.

cresc.

rit.

f

p

p

p

f

p

95b

rit.

a tempo

p

mp

pizz.

mp

p

6

101

p *pp* *p* *p* *p*

p *dolce* *p* *p* *p*

p arco *p dolce* *p* *p* *p*

p dolce *p*

107

p dolce *p dolce* *p dolce* *p dolce* *p*

113

f *f* *ff* *ff* *ff*

f *marcato* *ff*

119

f *ff*

Example 19

31

[illegible]

108

cresc.

cresc.

cresc.

cresc.

[illegible]

122

A musical score for a four-part setting of 'The Rose Tree'. The score is written on four staves: Soprano (top), Alto (second), Tenor (third), and Bass (bottom). The key signature has one flat (B-flat) and the time signature is 4/4. The music is in a simple, homophonic style. The lyrics are written below the staves. The score includes dynamic markings: 'cresc.' (crescendo) and 'f' (forte). The piece concludes with a double bar line and repeat dots.

cresc. *f*

cresc. *f*

cresc. *f*

cresc. *f*

10

1. *p* *pizz.*

1. *p* *pizz.*

p *pizz.*

11

2. *p* *pizz.*

p *pizz.*

p *pizz.*

W. E. 4570

W. E. 4570

Musical score for measures 240-250. The score is written for a piano and features complex rhythmic patterns, including triplets and sixteenth notes. Dynamic markings include *mf* (mezzo-forte) and *pp* (pianissimo). The key signature has one sharp (F#).

Musical score for measures 250-260. The score continues with complex rhythmic patterns and dynamic markings such as *f* (forte) and *pp* (pianissimo). The key signature remains one sharp (F#).

Musical score for measures 260-270. The score features complex rhythmic patterns and dynamic markings including *pp* (pianissimo) and *ppressurata*. The key signature has one sharp (F#).

2. 4576

Musical score for measures 280-290. The score is written for a piano and features complex rhythmic patterns, including triplets and sixteenth notes. Dynamic markings include *p* (piano). The key signature has one sharp (F#).

Musical score for measures 290-300. The score continues with complex rhythmic patterns and dynamic markings such as *p* (piano) and *dim.* (diminuendo). The key signature has one sharp (F#).

Musical score for measures 300-310. The score features complex rhythmic patterns and dynamic markings including *pp* (pianissimo) and *dim.* (diminuendo). The key signature has one sharp (F#).

2. 4579

[illegible]

150

Violin I: *f*, *arco*, *poco più f*, *mf*, *pizz.*, *mf*, *arco*, *poco più f espressa*.

Violin II: *f*, *arco*, *poco più f*, *mf*, *pizz.*, *mf*, *arco*, *poco più f espressa*.

Viola: *f*, *arco*, *poco più f*, *mf*, *pizz.*, *mf*, *arco*, *poco più f espressa*.

This image shows a page of musical notation, likely a score for a piano piece. The notation is written on a grand staff, which consists of five systems of staves. Each system contains a treble and bass staff joined by a brace. The music is written in a style that suggests a 19th-century composition, with various note values, rests, and dynamic markings. The dynamic markings include 'mf' (mezzo-forte) and 'cresc.' (crescendo). The notation is complex, with many notes and rests, and some measures contain multiple notes. The page is numbered '10' in the bottom right corner.

A page of musical notation for a piano piece, featuring five staves. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'p dim.' and 'dim.'. The page is numbered '130' in the top left corner. The notation is written in a style typical of 19th-century musical manuscripts.

10

170

System 10, measures 170-173. The system contains five staves. The first staff has a triplet of eighth notes. The second staff has a triplet of eighth notes. The third staff has a triplet of eighth notes. The fourth staff has a triplet of eighth notes. The fifth staff has a triplet of eighth notes. Dynamic markings include 'cresc.' and 'pizz.'.

System 11, measures 174-177. The system contains five staves. The first staff has a triplet of eighth notes. The second staff has a triplet of eighth notes. The third staff has a triplet of eighth notes. The fourth staff has a triplet of eighth notes. The fifth staff has a triplet of eighth notes. Dynamic markings include 'cresc.' and 'pizz.'.

System 12, measures 178-181. The system contains five staves. The first staff has a triplet of eighth notes. The second staff has a triplet of eighth notes. The third staff has a triplet of eighth notes. The fourth staff has a triplet of eighth notes. The fifth staff has a triplet of eighth notes. Dynamic markings include 'cresc.' and 'pizz.'.

E.E. 4588

11

System 13, measures 182-185. The system contains five staves. The first staff has a triplet of eighth notes. The second staff has a triplet of eighth notes. The third staff has a triplet of eighth notes. The fourth staff has a triplet of eighth notes. The fifth staff has a triplet of eighth notes. Dynamic markings include 'cresc.' and 'pizz.'.

System 14, measures 186-189. The system contains five staves. The first staff has a triplet of eighth notes. The second staff has a triplet of eighth notes. The third staff has a triplet of eighth notes. The fourth staff has a triplet of eighth notes. The fifth staff has a triplet of eighth notes. Dynamic markings include 'cresc.' and 'pizz.'.

System 15, measures 190-193. The system contains five staves. The first staff has a triplet of eighth notes. The second staff has a triplet of eighth notes. The third staff has a triplet of eighth notes. The fourth staff has a triplet of eighth notes. The fifth staff has a triplet of eighth notes. Dynamic markings include 'cresc.' and 'pizz.'.

E.E. 4589

[illegible]

A musical score for the song "The Rose Tree". The score is written for a vocal line and a piano accompaniment. The vocal line is in the upper staff, and the piano accompaniment is in the lower staff. The key signature is one flat (B-flat), and the time signature is 4/4. The score is divided into two systems. The first system contains the first two lines of the song, and the second system contains the next two lines. The piano accompaniment features a prominent melody in the right hand and a supporting bass line in the left hand. The vocal line follows the melody of the piano accompaniment. The score is written in a clear, legible style with standard musical notation.

Handwritten musical notation on ten staves. The notation includes various notes, rests, and dynamic markings such as 'f' (forte) and 'p' (piano). The page is numbered '47' in the bottom right corner.

This page contains a musical score for a 12-part setting of the Mass. The notation is arranged in a grid-like fashion, with twelve staves. The notation is in a historical style, likely from a 16th-century manuscript. The score includes various musical notes, rests, and decorative flourishes. The text is in Latin, and the page is numbered 210 in the bottom right corner.

Musical score for measures 218-220. The score is written for three staves. Measure 218 features a complex melodic line in the upper staff with many beamed sixteenth notes, while the lower staves provide harmonic support. Measure 219 continues this melodic development. Measure 220 shows a change in texture with more sustained notes in the upper staff and active lines in the lower staves. Dynamic markings include *ff* (fortissimo) and *sf* (sforzando). Performance instructions such as *crasso.*, *smile*, *crasso.*, *crasso.*, and *crasso.* are present. The key signature has two flats, and the time signature is 4/4.

E.S. 4869

Musical score for measures 221-222. Measure 221 features a melodic line in the upper staff with a *sf* (sforzando) marking. Measure 222 continues the melodic line with a *f* (forte) marking. The lower staves provide harmonic support. The key signature has two flats, and the time signature is 4/4.

Musical score for measures 223-224. Measure 223 features a melodic line in the upper staff with a *dim.* (diminuendo) marking. Measure 224 continues the melodic line with a *p* (piano) marking. The lower staves provide harmonic support. The key signature has two flats, and the time signature is 4/4.

Musical score for measures 225-226. Measure 225 features a melodic line in the upper staff with a *p* (piano) marking. Measure 226 continues the melodic line with a *p* (piano) marking. The lower staves provide harmonic support. The key signature has two flats, and the time signature is 4/4.

M.E. 4563

Example 23

[illegible]

1. Fl. Fl.

1.2. Ob.

1.2. E.H.

1.2. Klar. (A)

1.2. Bass. Klar. (A)

1.2. Fg.

3. u. Str. Fg.

rit.

pp

Example 25

42

rit.

3 gr. Fl. *pp*

3 Ob. *pp*

K.E. *pp*

Es-Klar. *pp*

3 Klar. (A) *pp*

Bass-Klar. (A) *pp*

1.2. Fg. *pp*

3 u. Kl. Fg. *pp*

1.2. Hrf. *pp*

1. Gg. *pp*

II. Gg. *pp*

Solo-Br. *pp*

Br. *pp*

Solo-Vell. *pp*

Vell. *pp*

Kirb. *pp*

2 Solo-Gg. m. Dpf. *pp*

1. Pult m. Dpf. *pp*

m. Dpf. *pp*

m. Dpf. 2. Solo-Br. *pp*

m. Dpf. 1. 2. Solo-Vell. *pp*

m. Dpf. 3. 4. Solo-Vell. *pp*

m. Dpf. *pp*

25 Sehr langsam

1. 2. gr. Fl. *pp sehr laut*

1. 2. Ob. *pp*

2 Klar. (A) *pp sehr laut*

1. 2. Fg. *pp*

1. Hrf. *pp*

26 Sehr langsam

2 Solo-Gg. m. Dpf. *pp*

2 Solo-Br. m. Dpf. *pp*

1 Solo-Vell. m. Dpf. *pp*

26

1.2. gr. Fl. *pp*

E. H. *pp*

3 Klar. (A) 1. *pp*

2.3. *pp*

Bes. Klar. (A) *pp*

3 Fg. *pp*

Klar. Fg. *pp*

1.4. Hr. (P) *pp*

1. Hr. *pp*

2. Hr. *pp*

2 Solo-Gg. m. Dpf. *pp*

Solo-Vcll. m. Dpf. *pp*

26

1.2. gr. Fl. *pp*

E. H. *pp*

3 Klar. (A) 1. *pp*

2.3. *pp*

Bes. Klar. (A) *pp*

3 Fg. *pp*

Klar. Fg. *pp*

1.4. Hr. (P) *pp*

1. Hr. *pp*

2. Hr. *pp*

2 Solo-Gg. m. Dpf. *pp*

Solo-Vcll. m. Dpf. *pp*

U. K. 2371

Example 26

47

pp p f

Rascher, heftig.

pp p f

Rascher, heftig.

pp p f

Rascher, heftig.

pp p f

Rascher, heftig.

624

Rascher, heftig.

12

[illegible]

Handwritten musical score for "Der Hirt" by Franz Schubert, Op. 10, No. 1. The score is written on ten staves, with the first five staves for the voice and the last five for the piano accompaniment. The music is in 3/4 time and G major. The lyrics are in German. The score includes various musical notations such as notes, rests, and dynamic markings like "f" and "p".

Example 27

21

20

[illegible]

F. F. 4558

E. Z. 4558

B-12. 2558

180

Fl.
Fl.
Vl.
Vl.
Va.
Vc.
Cb.

Sopr.
Alto
Tenor
Bass

ppp
pp
p
cresc.
dim.
arco
pizz.

E. X. 4553

[illegible]

Handwritten musical score for "L'Espresso" by Maurice Strakosky. The score is written on ten staves, organized into five systems of two staves each. The notation includes various musical symbols such as notes, rests, and dynamic markings. The piece is in 3/4 time, as indicated by the "3/4" time signature at the beginning. The score is marked with "espress. animato" and includes dynamic markings like "poco f" and "cresc.". The page number "90" is written in the top right corner, and the page number "91" is written in the bottom right corner.

Example 30

3

38 *a tempo*

p dolce *p* *f* *p*

43

p *p dolce*

48 *accel.*

cresc. *cresc.* *cresc.* *cresc.* *f* *cresc.*

53 *[B] a tempo*

ff *f* *p* *f* *p* *f* *ff* *f* *p* *f* *p* *f*

Example 31

5

Ein wenig bewegter
sehr ausdrucksvoll

1.2 Ob.
E.H.
3 Klar.(A)
Bass-Klar.(B)
1.2 3 Fg.
Kor.Fg.
4 Hr.(F)
2.4

Ein wenig bewegter
Alto

Fl.
m. Dpt.
Voll.
m. Dpt.
Korbes.
m. Dpt.

1.2 Ob.
E.H.
2 Klar.(A)
3.
Bass-Klar.(B)
1.2 3 Fg.
Kor.Fg.
1.3 Hr.(F)
Fl.
m. Dpt.
Voll.
m. Dpt.
Korbes.
m. Dpt.

sehr ausdrucksvoll

U.R. 5371

Example 32

6

(40)

horror.

p

f

horror.

f

horror.

f

horror.

p

horror.

ff horror.

024

Example 33

4

11965

11965

५७

222

39

R Etwas bewegt.

345

345

Example 35

8

First system of musical notation (measures 1-4). The score is in G major (one sharp) and 4/4 time. It features a piano (p) introduction with expressive (espr.) markings. The melody is in the right hand, and the bass line is in the left hand. The key signature has one sharp (F#).

Second system of musical notation (measures 5-8). The music continues with expressive (espr.) markings and dynamic changes including piano (p), forte (f), and fortissimo (fp). The melody is in the right hand, and the bass line is in the left hand. The key signature has one sharp (F#).

Third system of musical notation (measures 9-12). The tempo changes to *molto rit.* (very slow) and then *Tempo I.* (first tempo). The music is marked *pp* (pianissimo). The melody is in the right hand, and the bass line is in the left hand. The key signature has one sharp (F#).

Fourth system of musical notation (measures 13-16). The music continues with *p riten.* (piano, ritenuto) markings and *cresc.* (crescendo) markings. The melody is in the right hand, and the bass line is in the left hand. The key signature has one sharp (F#).

con fuoco e marcato

7

The first system of musical notation consists of four staves (treble, alto, tenor, and bass clefs) in a key signature of two sharps (F# and C#). The music is written in a 2/4 time signature. The first two measures show a rhythmic pattern of eighth and sixteenth notes. The last two measures feature a crescendo, indicated by a series of wedge-shaped markings (>>) above the notes.

The second system of musical notation continues the piece with four staves. Measures 5 and 6 show a continuation of the rhythmic pattern. Measures 7 and 8 are marked with the instruction "sempre cresc." (always crescendo) and feature a series of wedge-shaped markings (>) above the notes, indicating a continuous increase in volume.

The third system of musical notation consists of four staves. Measures 9 and 10 are marked with the dynamic "mp" (mezzo-piano). Measures 11 and 12 are marked with "pp" (pianissimo). The music features a series of wedge-shaped markings (>) above the notes, indicating a crescendo.

The fourth system of musical notation consists of four staves. Measures 13 and 14 are marked with the dynamic "p" (piano). Measures 15 and 16 are marked with "pp" (pianissimo). The music features a series of wedge-shaped markings (>) above the notes, indicating a crescendo.

8

The musical score is written for piano and consists of four systems, each with three staves (treble, alto, and bass clefs). The key signature is one sharp (F#) and the time signature is 4/4.

System 1: The first staff begins with a treble clef and a key signature of one sharp. The second staff has a treble clef and a key signature of one sharp. The third staff has a bass clef and a key signature of one sharp. The fourth staff has a bass clef and a key signature of one sharp. Dynamics include *mp*, *mf*, and *molto cresc.*

System 2: The first staff has a treble clef and a key signature of one sharp. The second staff has a treble clef and a key signature of one sharp. The third staff has a bass clef and a key signature of one sharp. The fourth staff has a bass clef and a key signature of one sharp. Dynamics include *f* and *molto cresc.*

System 3: The first staff has a treble clef and a key signature of one sharp. The second staff has a treble clef and a key signature of one sharp. The third staff has a bass clef and a key signature of one sharp. The fourth staff has a bass clef and a key signature of one sharp. Dynamics include *f* and *espr.*

System 4: The first staff has a treble clef and a key signature of one sharp. The second staff has a treble clef and a key signature of one sharp. The third staff has a bass clef and a key signature of one sharp. The fourth staff has a bass clef and a key signature of one sharp. Dynamics include *f* and *dim.*

Example 36

2

10

15

20

25

U. E. 6386 W. Ph. V. 222

3

30

35

sempre poco a poco rit.

40

a tempo

45

U. E. 6386 W. Ph. V. 222

Example 37

a
b

C

A handwritten musical score consisting of five staves. The notation is in treble clef and includes various musical symbols such as notes, rests, and accidentals. The first staff begins with a treble clef and a key signature of one sharp (F#). The second staff contains a large, complex chord structure. The third staff features a series of notes and rests, with a key signature change to one flat (Bb). The fourth staff continues the melodic line with notes and rests. The fifth staff concludes the piece with a final chord and a double bar line.

Example 38

18

III

Andante con moto
senza sordino

senza sordino

senza sordino

senza sordino

p espress.

mf

5

mf

p

f

p

9
VAR. I

p

p

p

p

13

mf pp f p f

pizz. arco pizz. arco

mf pp f p f

17
VAR. II

pp zurückkehrend

p

p dolce

20

p con espressione

p

p

24

p p f

pizz. arco pizz.

p p f

20

27 *p* *arco* *f* *f* *p* *f*

VAR. III 29
Etwas rascher

31 *p* *f* *f* *p* *f*

34 *p* *f* *f* *p* *f*

37 *p* *f* *f* *p* *f*

35

pp *molto cresc.*

pp *molto cresc.*

pp *molto cresc.*

arco *pp* *molto cresc.*

37

VAR. A *

Noch rascher

f

39

41

f

pp

f

pp

f

pp

f

* Discarded variation. See Notes.

43

cresc. - - - - - ff

cresc. - - - - - ff

cresc. - - - - - ff

cresc. - - - - - ff

VAR. IV
Etwas breiter

45

f markiert

f

f markiert

f

47

ff

ff

ff

ff

49

f

f

f

f

23

50

p dolce

p dolce

p dolce

p dolce

L. 2. 4569

24

p dolce

p dolce

p dolce

p dolce

L. 2. 4569

27

musf

70

E.E. 4589

This block contains the musical notation for page 27, measures 68 through 70. It features a complex arrangement of staves with various musical notes, rests, and dynamic markings. The notation is dense and includes many slurs and ties. The measure number '70' is clearly visible in the middle of the page. The publisher's code 'E.E. 4589' is located at the bottom right.

26

71

72

73

molto cresc

molto cresc

E.E. 4589

This block contains the musical notation for page 26, measures 71 through 73. It features a complex arrangement of staves with various musical notes, rests, and dynamic markings. The notation is dense and includes many slurs and ties. The measure numbers '71', '72', and '73' are clearly visible at the top of the page. The publisher's code 'E.E. 4589' is located at the bottom right.

23

The image displays three systems of handwritten musical notation on staves. Each system consists of five staves. The notation is dense and includes various musical symbols such as notes, rests, and dynamic markings like 'p' (piano). The first system is labeled with the number '23' in the left margin. The second and third systems continue the musical piece. The handwriting is somewhat stylized and the ink is dark. The overall layout is organized into three distinct horizontal sections, each representing a system of the score.

E.Z. 4368

Example 39

24

62 VAR. V
(Langsam)

65

69

72

pp
p dolce
pp dolcissimo
dolce
pp
pizz.
arco
pp
mf espress.
mf
pp
mf
pp
pp
mf
pp
pp
mf
pp
pp
mf
pp

* These notes to be played only if VAR. B is performed.

76

1 2

pp *dim.*

pp *dim.*

pp *dim.*

pp *dim.*

pp *dim.*

80 rit. Tempo I

p

pp

pp

pp

pp

pp

83

pp

86

pp *steigernd* *8va*

pp *f*

pp *f*

pizz. *arco* *pp* *f*

pp *f*

A handwritten musical score for the song "The Rose Tree". The score is written on ten staves, organized into five systems of two staves each. The notation is in a historical style, featuring a treble clef on the first staff of each system and a common time signature (C). The music is written in a single melodic line, with lyrics written below the notes. The lyrics are: "The Rose Tree, The Rose Tree, The Rose Tree, The Rose Tree, The Rose Tree, The Rose Tree, The Rose Tree, The Rose Tree, The Rose Tree, The Rose Tree." The score includes various musical notations such as notes, rests, and bar lines. There are also some markings that appear to be "pina" and "spina" written below the staves. The handwriting is in ink on aged paper.

A page of handwritten musical notation for a 16-part setting of the Mass. The page contains 16 staves, each with its own clef and key signature. The notation is written in a historical style, featuring various note values, rests, and clefs. The staves are arranged in a single column, and the music is written in a single system. The notation is dense and complex, with many notes and rests. The page is numbered 16 in the top right corner.

[illegible]

22

130 131 132 133 134 135 136 137

Soprano
Soprano
Soprano

130

138 139 140 141 142 143 144 145

Soprano
Soprano
Soprano

140

146 147 148 149 150 151 152 153

Soprano
Soprano
Soprano

S. E. 4589

22

154 155 156 157 158 159 160 161

Soprano
Soprano
Soprano

130

162 163 164 165 166 167 168 169

Soprano
Soprano
Soprano

140

170 171 172 173 174 175 176 177

Soprano
Soprano
Soprano

S. E. 4590

51

ff

53

VAR. B
Rasch

kurz *pp* *mf* *cresc.*

kurz *pp* *mf* *cresc.*

kurz *pp* *mf* *cresc.*

kurz *pp* *mf* *cresc.*

pizz. *mf* *cresc.*

56

mf

59

Langsam

f

pp

* Discarded variation. See Notes.

50

50

1. 2. 3. 4.

cresc.

pizz.

arco

cresc.

52

1. 2. 3. 4.

pizz.

arco

pizz.

arco

54

1. 2. 3. 4.

pizz.

arco

pizz.

arco

E.E. 4570

51

51

1. 2. 3. 4.

cresc.

pizz.

arco

cresc.

58

1. 2. 3. 4.

pizz.

arco

pizz.

arco

60

1. 2. 3. 4.

pizz.

arco

pizz.

arco

E.E. 4570

51

The musical score is divided into three systems, each containing three staves. The first system includes the number '80' at the top left. The notation includes various musical symbols such as notes, rests, and dynamic markings. The second system begins with the instruction 'poco a poco rit.' and includes 'dim.' markings. The third system begins with 'molto rit.' and includes 'pp', 'p', 'dolce', 'dim.', 'am.', and 'dim.' markings. The score concludes with the number '81' at the bottom right.

80

p molto espress. *arco* *cresc.* *cresc.* *cresc.* *cresc.* *p molto espress.* *cresc.*

poco a poco rit. *dim.* *dim.* *dim.*

molto rit. *pp* *p* *dolce* *dim.* *am.* *dolce* *dim.*

81

E. E. 4570